

MANUAL

DRAFT
DOE M 411.1-1D

Approved: XX-XX-06
Review: XX-XX-08

SAFETY MANAGEMENT FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUAL



U.S. DEPARTMENT OF ENERGY
OFFICE OF ENVIRONMENT, SAFETY AND HEALTH

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INITIATED BY:
Office of Environment, Safety and Health

SAFETY MANAGEMENT FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUAL

1. PURPOSE. This directive is the safety management functions, responsibilities, and authorities manual (FRAM) for Department of Energy (DOE) senior management with responsibilities for line, support, oversight, and enforcement actions. It provides detailed requirements to supplement DOE P 411.1, *Safety Management Functions, Responsibilities, and Authorities Policy*, dated 1-28-97.
2. CANCELLATIONS. DOE M 411.1-1C, *Safety Management Functions, Responsibilities, and Authorities Manual*, dated 12-31-03.
3. APPLICABILITY.

- a. DOE Elements. Except for the exclusions in paragraph 3c, this Manual applies to all DOE elements, including National Nuclear Security Administration (NNSA), performing safety management functions (see Attachment 1).

The NNSA Administrator will assure that NNSA employees and contractors comply with requirements of this Manual consistent with the requirements of National Defense Authorization Act of 2000 and NNSA business operating procedures.

- b. DOE Contractors. This Manual does not apply to DOE contractors.
- c. Exclusions.
 - (1) The facilities and activities of the Naval Nuclear Propulsion Program and the Power Marketing Administrations are exempt from the requirements of this Manual.
 - (2) To the extent the requirements in this Manual conflict with or duplicate Nuclear Regulatory Commission requirements, the Office of Civilian Radioactive Waste Management is exempt from the requirements of this Manual.
4. SUMMARY. This Manual is composed of eight chapters that document the DOE Secretary's, Deputy Secretary's, Under Secretaries', and various Secretarial Officers' senior management functions, responsibilities, and authorities for safety management as shown in the eight tables that follow the chapters. Appendix A is a list of acronyms used in the Manual. Appendix B cites the bases for delegated responsibilities.

5. CONTACT. Questions concerning this Manual should be addressed to Samuel Rosenbloom, Office of Environment, Safety and Health, 301-903-5749 or Samuel.Rosenbloom@eh.doe.gov.

BY ORDER OF THE SECRETARY OF ENERGY:

CLAY SELL
Deputy Secretary

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1. INTRODUCTION

The Secretary of Energy (the Secretary) has primary responsibility for ensuring that work at Department of Energy (DOE or Department) facilities is performed in a manner that protects the worker, the public, and the environment, as directed in DOE P 450.4, *Safety Management System Policy*, dated 10-15-96, and as codified in the Department of Energy Acquisition Regulations [Title 48 Code of Federal Regulations (CFR), §§ 970.5204-2, and 970.5223-1]. Responsibility flows from the Secretary through line management to individuals performing the work.

Guiding principles include the following.

- a. Line management¹ is responsible for protecting the safety of employees, the public, and the environment.
- b. DOE and its contractors must define and maintain lines of responsibility for ensuring protection of environment, safety, and health (ES&H) at all organizational levels.

This Manual addresses these guiding principles and formally documents DOE safety management² functions, responsibilities, and authorities.

DOE P 411.1, *Safety Management Functions, Responsibilities, and Authorities Policy*, dated 1-28-97, mandates development of a corporate level document that codifies lines of responsibility and authority necessary to—

- develop and implement safety requirements and standards for the protection of workers, the public, and the environment;
- define essential safety management functions and establish unambiguous DOE roles;
- clarify roles, responsibilities, lines of authority, and delegations between Headquarters (HQ) and field organizations;
- ensure compliance with legal requirements and manage against contractual requirements;
- define functional relationships and responsibilities among DOE line, support, oversight, and enforcement organizations; and

¹ DOE line management refers to the Department organization that is responsible for safe operations of a facility or site and has a direct reporting relationship from the Secretary of Energy to the people in the facilities directly performing the Department's missions.

² For the purposes of this Manual, safety encompasses environment, safety, and health functions at DOE facilities or activities. Safety management refers to DOE functions and responsibilities governing operational safety. This Manual does not address security, emergency management, protection of human subjects, or worker compensation.

- address coordination of line direction from multiple program offices at a single site.

The framework for documenting lower tier functions, responsibilities, and authorities is discussed in Chapter 8.

2. SCOPE

This Manual applies to the delegated authority of the Secretary, Deputy Secretary, Under Secretaries, cognizant Secretarial Officers [(CSOs) see Chapter 5], and corporate support functions of the Office of Environment, Safety and Health; the Office of Security and Safety Performance Assurance; and the Departmental Representative to the Defense Nuclear Facility Safety Board [(DNFSB) see Chapter 6].

As the official responsible for facilities and programs, the Assistant Secretary for Environment, Safety and Health also must meet CSO requirements (Chapter 5) and support responsibilities listed in Chapter 6.

In addition, Federal employee occupational safety and health (FEOSH) requirements apply to all HQ and field elements (see Attachment 1). FEOSH requirements are documented in—

- DOE O 440.1A, *Worker Protection Management for DOE Federal and Contractor Employees*, dated 3-27-98, and
- DOE HQ O 442.1, *Headquarters Occupational Safety and Health Program*, dated 11-3-01.

The Assistant Secretary for Environment, Safety and Health is the designated Agency safety and health officer (DASHO) responsible for defining FEOSH requirements and guidance for DOE. Field element managers (FEMs) are responsible for implementing FEOSH requirements at field facilities.

The Office of Management is responsible for—

- implementing FEOSH requirements at DOE HQ facilities and
- developing and implementing aviation safety policy and providing to the Secretary recommendations on aviation safety.³

³ See Secretarial Memorandum to Headquarters and Field Elements, dated April 15, 1999.

3. CHANGE CONTROL

Responsibilities listed in this Manual are derived from Congressional legislation; Executive orders (E.O.s); Federal regulations; DOE directives; and Secretarial policies, commitments, and memoranda (Appendix B).

This Manual will be updated annually or more often as the Department alters organizational responsibilities. Changes must be made through the DOE Directives System in accordance with DOE O 251.1A, *Directives System*, dated 1-30-98, and DOE M 251.1-1A, *Directives System Manual*, dated 1-30-98.

The Secretary may override or change responsibilities defined in this Manual through Secretarial memoranda that will be posted on the FRAM web page at <http://tis.eh.doe.gov/nsps/frams.html> and documented in the next Manual update.

When responsibilities defined herein are found to be in conflict with Congressional legislation, E.O.s, Federal regulations, or DOE directives, the provisions of those documents override this Manual. Conflicts are to be reported to the Office of Environment, Safety and Health for inclusion in Manual updates.

4. DELEGATED AUTHORITIES

4.1 Secretary of Energy

Through the authorities granted under—

- the AEA (as amended);
- the Energy Reorganization Act of 1974 [Public Law (P.L.) 93-438]; and
- the Department of Energy Organization Act (P.L. 95-91),

the Secretary is responsible for—

- overall direction and administration of the Department;
- ensuring that DOE missions are performed in a manner that protects public health and safety and advances the goals of restoring, protecting, and enhancing environmental quality;⁴ and
- establishing procedural and administrative rules and regulations deemed necessary or appropriate for administration and management of DOE functions.⁵

Except as otherwise prohibited by law, the Secretary may delegate those functions to DOE officers and employees and may authorize successive redelegations.⁶

Specific Secretarial responsibilities defined in Congressional legislation, Federal regulations, Presidential directives, and DOE safety directives are listed in Table 1.

NOTE: Although DOE directives are not strictly authorizing documents for the Secretary, directives that list Secretarial responsibilities explicitly are included in Table 1.

4.2 Deputy Secretary

The Deputy Secretary reports to and is authorized to act for and exercise Secretarial functions when the Secretary is absent or disabled or when the position of Secretary is vacant;⁷

⁴ See DOE Organization Act, Sec. 102, item (13).

⁵ See DOE Organization Act Sec. 644.

⁶ See DOE Organization Act, Sec. 642.

⁷ See DOE Organization Act, Sec. 202.

The Deputy Secretary—

- serves as chief operating officer responsible for day-to-day management of mission objectives;
- is responsible for direct line management of the Under Secretaries; the Energy Information Administration; the Chief Information Officer; the Offices of Assistant Secretary for Environment, Safety and Health and Security and Safety Performance Assurance; the Power Marketing Administrations; and all Secretarial support and staff including the Offices of—
 - Assistant Secretary for Policy and International Affairs
 - Assistant Secretary for Congressional and Intergovernmental Affairs
 - Inspector General
 - Management
 - Chief Financial Officer
 - Human Capital Management
 - Energy Information Administration
 - Public Affairs
 - Economic Impact and Diversity
 - Hearings and Appeals
 - Secretary of Energy Advisory Board Support Office
 - Departmental Representative to the DNFSB
 - Intelligence
 - Counterintelligence
 - General Counsel
 - Public Affairs

Responsibilities for the Deputy Secretary are listed in Table 2.

4.3 Under Secretaries

The Under Secretaries direct activities of the Department's line and safety support organizations.

NOTE: This section will be updated to include an Under Secretary for Science established by the Energy Policy Act.

4.3.1 Under Secretary for Energy, Science and Environment (ESE)

Direct line management responsibility includes the following offices:

- Civilian Radioactive Waste Management
- Energy Efficiency and Renewable Energy
- Environmental Management
- Fossil Energy
- Nuclear Energy, Science and Technology
- Science
- Legacy Management

Responsibilities are listed in Table 3.

4.3.2 Under Secretary for Nuclear Security/NNSA Administrator

The NNSA Act in the National Defense Authorization Act for 2000 (P.L. 106-377) establishes NNSA and defines specific responsibilities for the Under Secretary for Nuclear Security/NNSA Administrator. The position is subject to the authority and direction of the Secretary, who can delegate that authority only to the Deputy Secretary. The authority cannot be redelegated. The Secretary may direct DOE officials whose functions reside outside NNSA to review and make recommendations regarding consistency of NNSA program administration and activities with those found in similar DOE organizations.

The NNSA Administrator—

- must ensure that NNSA operations and activities are consistent with the DOE principles of protecting the environment and safeguarding the safety and health of the public and the workforce⁸ and
- has direct responsibility for the following offices:
 - Defense Programs,
 - Defense Nuclear Nonproliferation,
 - Naval Reactors,
 - Emergency Operations,
 - Facilities and Operations,

⁸ See NNSA Act.

- Management and Administration.

Specific responsibilities are listed in Table 4.

4.3.3 Under Secretary for Science [Reserved]

4.4 Central Technical Authorities

In response to DNFSB Recommendation 2004-1 the Department has established Central Technical Authorities (CTAs) for NNSA (the Principal Deputy Administrator or other line official designated by the Administrator) and for ESE (the Under Secretary). CTAs are line management executives responsible for the following core nuclear safety functions and activities:

- a. concur with decisions regarding applicability of contractor requirements documents (in DOE directives) that address nuclear safety pursuant to DEAR 970.5204 2(b) and (c);
- b. concur with exemptions from nuclear safety requirements added to contracts pursuant to DEAR 970.5204 2;
- c. submit to the Assistant Secretary for Environment, Safety and Health or NNSA Administrator issues and proposed resolutions related to safety requirements;
- d. concur in the adoption or revision of nuclear safety requirements and supplemental requirements;
- e. establish expectations and guidance for implementing nuclear safety requirements;
- f. maintain operational awareness of nuclear safety requirements implementation and guidance consistent with the principles of Integrated Safety Management (e.g., documented safety analyses, authorization agreements, and readiness reviews);
- g. periodically review and assess whether DOE is maintaining adequate numbers of technically competent personnel to fulfill nuclear safety responsibilities; and
- h. provide input to, review, and concur with nuclear safety research and development activities proposed by the Assistant Secretary for Environment, Safety and Health.

NNSA site office managers, program Secretarial Officers (PSOs), and the Chief of Defense Nuclear Safety all report directly to the NNSA Principal Deputy Administrator.

ESE PSOs and the Chief of Nuclear Safety for ESE and staff report directly to the Under Secretary; field element managers report to the Under Secretary through the PSOs.

Under Secretaries must develop documents defining their functions, responsibilities, and authorities; how their authorities are delegated; and how responsibilities are assigned to specific Secretarial Offices. Documentation also is developed to define CSO and FEM functions, responsibilities, and authorities.

5. COGNIZANT SECRETARIAL OFFICERS

DOE P 411.1, *Safety Management Functions, Responsibilities, and Authorities Policy*, dated 1-28-97 assigns line management (HQ and field operational and programmatic organization) responsibilities and accountabilities for safety.

5.1 Definitions

Secretarial Officers—managers who report directly to and support the Secretary, Deputy Secretary or Under Secretaries in meeting their responsibilities.

Cognizant Secretarial Officers (CSOs)—managers responsible for ensuring that work is accomplished in a safe and environmentally sound manner at DOE-owned or -leased sites and facilities other than HQ.

5.2 Responsibilities

CSOs have line accountability for safety management processes and systems at laboratories or a bounded set of facilities and provide direction to line organizations at DOE HQ and in the field regarding successful implementation of DOE policies and requirements.

CSOs and field managers are required to establish Memorandums of Understanding (MOUs) that define agreed upon procedures governing operations at sites, facilities or laboratories where multiple program offices conduct work. Copies of MOUs are distributed to all signatories and affected contractors and should be incorporated into organizational functions, responsibilities, and authorities documents (FRAs).

CSOs reporting to the Under Secretary for Energy, Science and Environment are—

- Assistant Secretary for Environmental Management;
- Assistant Secretary for Energy Efficiency and Renewable Energy;
- Assistant Secretary for Fossil Energy;
- Director of the Office of Nuclear Energy, Science and Technology;
- Director of the Office of Science; and
- Director of Office of Civilian Radioactive Waste Management.

CSOs reporting to the Under Secretary for Nuclear Security/NNSA Administrator are—

- Deputy Administrator for Defense Nuclear Nonproliferation and

- Deputy Administrator for Defense Programs.⁹

The Director of the Office of Security and Safety Performance Assurance is the CSO with line management responsibility for DOE facilities and reports to the Secretary through the Deputy Secretary.

Figure 1 is a DOE organization chart listing CSOs in shaded boxes. Responsibilities for sites and facilities to which each CSO is assigned are listed in Table 5.

Table 6 summarizes CSO safety management functions, responsibilities, and authorities (see also Chapter 8). Additional detail is provided in the authorities listed and associated guides and documents.

⁹ In a June 2003 memorandum, the NNSA Administrator delegated environment, safety, and health responsibilities to the Deputy Administrator for Defense Programs. This delegation does not apply to facilities being designed and constructed under the purview of the Deputy Administrator for Defense Nuclear Nonproliferation.

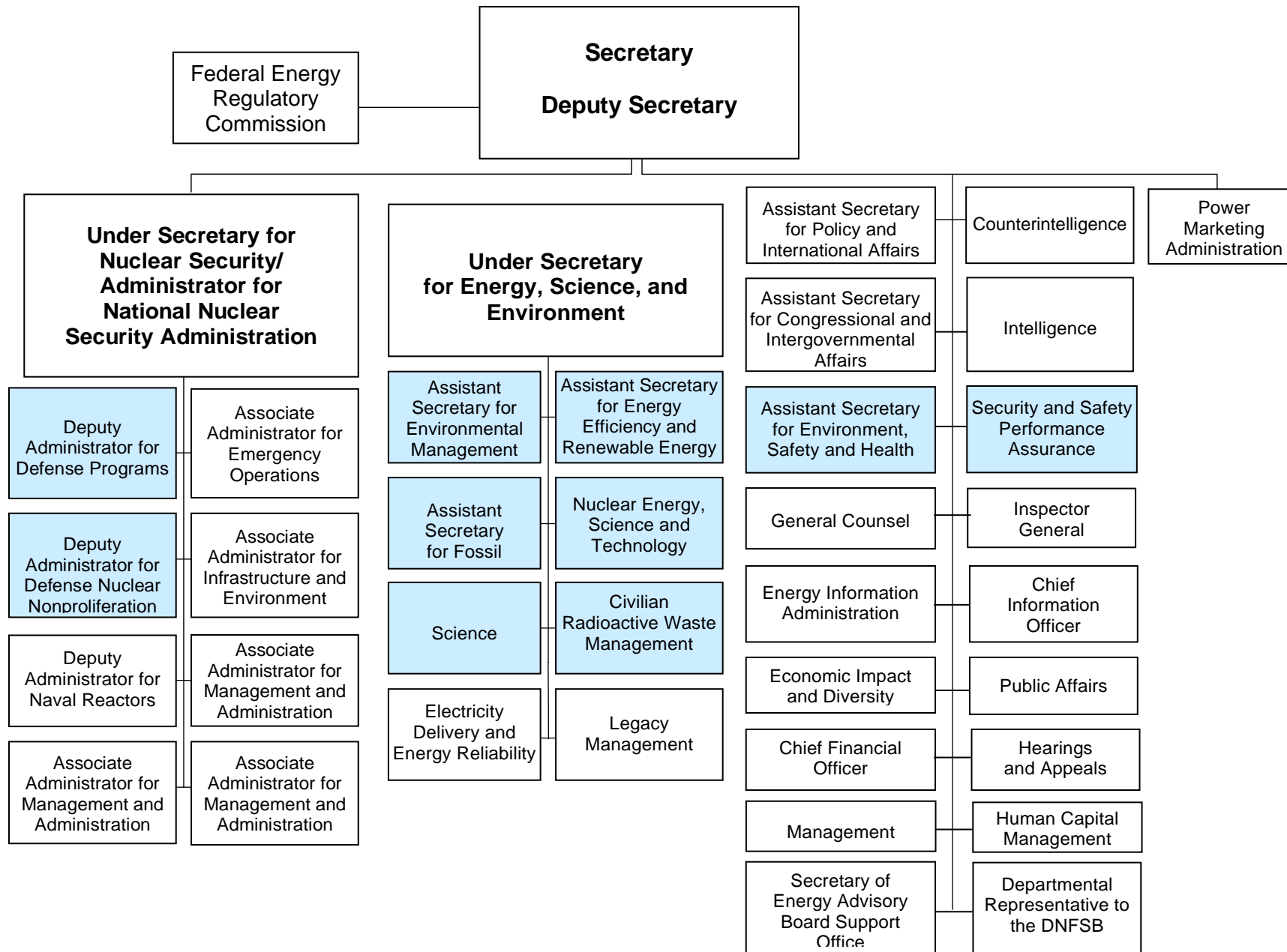


Figure 1. Department of Energy Organization as of October 2005. The shaded boxes indicate the cognizant Secretarial Officers with responsibilities listed in Table 6.

6. SUPPORT ORGANIZATIONS

6.1 Office of Assistant Secretary for Environment, Safety and Health

The corporate safety office for all programs (except aviation safety) is responsible for functions in support of or as Departmental representative for environmental protection at DOE sites/facilities, assists line management in safety management functions, and has reporting responsibility for crosscutting DOE commitments to the DNFSB.¹⁰

As required by E.O. 13101, *Greening the Government through Waste Prevention, Recycling, and Federal Acquisition*, the Secretary appointed the Assistant Secretary for Environment, Safety, and Health¹¹ to the role DASHO, who establishes an occupational safety and health policy and program to carry out the provisions of—

- Section 19 of the Occupational Safety and Health Act,
- E.O. 12196 *Occupational Safety and Health Programs for Federal Employees*, and
- 29 CFR 1960, *Basic Program Elements for Federal Employee Occupational Safety and Health Programs and Related Matters*.¹²

Safety management functions include development and maintenance of —

- this Manual;
- DOE ES&H policies, regulations, technical standards, and other directives that address of DOE site/facility nuclear and non-nuclear operations safety to meet provisions of the AEA and the Price-Anderson Amendments Act (PAAA) of 1988;
- nuclear, facility, and worker safety; radiological and environmental protection; and safety management programs.

Corporate support is focused on assisting DOE program and field offices in interpreting and implementing safety requirements and enforcement actions that subject contractors to civil penalties for violating safety regulations promulgated under PAAA.

Although the NNSA Act establishes that NNSA officers and employees are “subject to the authority, direction, or control of any other officer, employee, or agent of the Department of Energy,” *The Memorandum of Understanding between the Administrator for the National*

¹⁰ Memorandum from Deputy Secretary, Kyle McSillarow, Responsibilities for Increased Performance in Meeting DOE Commitments to DNFSB, March 31, 2003.

¹¹ See DOE O 450.1 Chg 2, Environmental Protection Program, dated 1-15-03.

¹² See 29 CFR 1960.6.

Nuclear Security Administration and the Assistant Secretary for Environment, Safety and Health delineates special provisions regarding enforcement at NNSA facilities.¹³

The Office of Environment, Safety and Health

- analyzes performance;
- maintains safety data systems;
- coordinates and manages nuclear safety research;
- advises the Secretary on ES&H issues;
- provides subject matter expertise;
- operates programs for routine collection, analysis, and communication about ES&H performance;
- is responsible for crosscutting or corporate safety programs that support the DOE complex;
- promotes the health and safety of workers and communities surrounding DOE sites (through the Office of Health);
- develops comprehensive and effective safety and health policy for DOE workplace hazards; and
- supports studies and medical screenings to understand the effects of radiation and other potential hazards of DOE operations on humans.

Responsibilities are listed in Tables 6 (for CSOs) and 7. Additional detail is available in guides and associated documentation (see http://www.eh.doe.gov/nsps/EHFRA_Draft20040430.pdf).

6.2 Office of Security and Safety Performance Assurance¹⁴

Responsibilities include independent oversight of—

- safeguards and security,
- cyber security,

¹³ See Memorandum of Understanding for special provisions regarding enforcement at <http://tis.eh.doe.gov/enforce/handbks/20010108mou.pdf>.

¹⁴ In a memorandum dated December 2, 2003, James T. Campbell, Acting Director of the Office of Management, Budget and Evaluation/Acting CFO requested the establishment of the Office of Security and Safety Performance Assessment (SSA). That office will combine the functions of the Office of Independent Oversight and Performance Assessment with some of the functions of the Office of Security. Those changes when finalized will be addressed in a future revision to this Manual.

- emergency management, and
- environment, safety and health.

Evaluations are conducted to verify that—

- safeguards and security interests are protected;
- the Department can effectively respond to emergencies; and
- workers, the public, and the environment are protected from hazardous operations and materials.

The following authorizations define responsibilities.

- DOE O 470.2B, *Independent Oversight and Performance Assurance Program*, dated 10-31-02, established authority to conduct independent oversight.
- A July 2001 memorandum from the Secretary of Energy addresses changes in management structure
- An August 2001 memorandum from the Deputy Secretary assigned independent oversight responsibility for environment, safety and health to the Office of Security and Safety Performance Assurance.
- DOE O 226.1, *Implementation of Department of Energy Oversight Policy*, dated 9-15-05, defines requirements for DOE organizations performing independent oversight (see Attachment 4) or requires that comparably effective criteria established by the director of the independent oversight program be used.

Responsibilities are listed in Table 8. Additional detail is available in the listed authorities and associated guides and documentation.

6.3 Office of the Departmental Representative to the DNFSB

Functions, responsibilities, and authorities are defined in DOE M 140.1-1B, *Interface with the Defense Nuclear Facilities Safety Board*, dated 3-30-01, as modified and supplemented by the Memorandum from the Deputy Secretary, *Responsibilities for Increased Performance in Meeting DOE Commitments to DNFSB* (March 31, 2003) as follows.

- Represent the Secretary in regular and continuing interactions with the Board.
- Advise the Secretary, Deputy Secretary, Secretarial Officers, and other Departmental officials on Board priorities, concerns, actions, and plans.
- Facilitate communication and cooperation between Departmental elements and the Board.

- Manage the Department's Safety Issues Management System for DNFSB-related issues, commitments, and actions.
- Coordinate Departmental correspondence with the DNFSB.
- Serve as the initial point of contact for receipt and management of DNFSB recommendations and correspondence.
- Route correspondence related to crosscutting safety concerns, recommendations, and other topics to the Assistant Secretary for Environment, Safety and Health.
- Route correspondence related to a specific site or facility to the affected program office with a copy to the Assistant Secretary for Environment, Safety and Health.

7. LINE OF SUCCESSION AND DELEGATION OF AUTHORITY

7.1 Line of Succession

The DOE Organization Act requires that the order in which the Under Secretary and other officials will act for and perform functions of the Secretary during the absence or disability of both the Secretary and the Deputy Secretary or in the event of vacancies in both of those offices. DOE O 100.1C, *Secretarial Succession*, dated 12-7-05 defines order of succession.

7.2 Delegation of Authority

As stated in Chapter 4 and the DOE Organization Act, except as otherwise prohibited by law, the Secretary may delegate or redelegate functions to officers and employees and may authorize successive redelegations. A list of Secretarial delegations and their links can be found at <http://www.directives.doe.gov/delegations/currentsdoa.html>.

Some authorities within the Department are assigned directly to specific offices or positions within the Department through laws. Others limit or prohibit delegation. The following are examples.

- The NNSA Act assigns authorities directly to the NNSA Administrator and limits delegation of that authority to the Deputy Secretary, who cannot delegate further.
- CFR Part 820 assigns certain responsibilities and authorities to the director of the Office of Enforcement and the Office of the Docketing Clerk within the Office of Price-Anderson Enforcement.
- 10 CFR 820.61 assigns the authority for granting exemptions to nuclear safety requirements to specified Secretarial Officers but prohibits further delegation.

Delegating officials remain accountable for the outcome of actions by delegated authorities even when the individual or organization is not subordinate to the delegating official. Delegations are to persons, not functions.

DOE managers must define expectations for the managers and staff under them clearly. For example, if a Secretarial Officer delegates a subordinate manager or supervisor to review and approve an annual report on environmental consequences, that action (including any delegated authorities) should be clearly delineated in the Secretarial Officer's FRA. If the delegation of authority is not listed, the Secretarial Officer is expected to perform the action.

Delegation of approval authority or assignment of other responsibility does not preclude program offices from issuing requirements, expectations, and guidance affecting that authority or from participating in field element interaction with operating or management contractors.

Program offices must coordinate interaction with a contractor through the DOE contracting officer.

The following provisions apply to the delegation of authority.

- All delegations of authority must be documented in writing and provided to delegates defining—
 - the authority that is delegated,
 - the delegate,
 - all circumstances under which the authority may be exercised,
 - any restrictions or prohibitions related to further delegation, and
 - conditions or qualifications that relate to the delegation.
- Unless otherwise stated, a delegation remains in effect until rescinded or modified or until there is a personnel change. The delegator may rescind or modify the delegation at any time and must document the change in writing and provide a copy of the rescission/modification to the former delegate who records the revised delegation in appropriate FRAs.
- Under Secretaries; Secretarial Officers; field offices; the Office of Environment, Safety and Health; and the Office of Security and Safety Performance Assurance must—
 - list delegations of authority that apply to their organizations in their FRAs and
 - update those documents at least annually to record current information.
- Delegation of authority for a function to another office requires that the delegator ask the delegate to review and comment on that aspect of the FRA and resolve the delegate's comments.

Delegations of safety authorities require clear criteria and a rigorous process to ensure that they are properly implemented.

By Memorandum dated December 27, 2005, *Delegations of Safety Authorities*, Deputy Secretary of the Department of Energy outlined the criteria and process for delegation of safety authorities.

Specifics are as follows.

I. Delegating Authorities to Field Personnel for Fulfilling Assigned Safety Responsibilities

For safety responsibilities related to nuclear facilities, the Under Secretary for Nuclear Security, the Under Secretary for Energy, Science, and Environment, and Cognizant Secretarial Officers (CSOs) may delegate safety authority to subordinate field personnel to implement assigned safety responsibilities. Such delegations must use the process criteria and process attributes described below.

PROCESS CRITERIA:

1. Delegations shall only be made where not prohibited by statute, DOE safety directives, or DOE safety rules.
2. Delegations shall only be made to individuals who possess the necessary individual qualifications, experience, and expertise.
 - a. Approval of documented safety analyses, technical safety requirements, and unreviewed safety question procedures, required pursuant to 10 CFR 830, Subpart B, *Safety Basis Requirements* shall not be further delegated below the most senior level program officer or deputy at a field element office, unless concurrence is obtained from the applicable Central Technical Authority (CTA).
 - b. Minimum expectations in terms of individual requirements for the most senior level program officer at a field element office and his/her deputy shall include (1) Senior Technical Safety Manager qualifications consistent with the Federal Technical Capability Manual (DOE M 426.1-1A), and (2) successful completion of the one-week Nuclear Executive Leadership Training course.
3. Delegations shall only be made where the candidate's organization possesses or has access to (for example, via service centers) sufficient staff with the necessary qualifications, experience, and expertise to support the candidate for the authorities being delegated.
4. Delegation shall only be made where the candidate's organization has the proper framework of processes and procedures, as well as adequate resources and funding to implement the delegated authorities.
5. In those rare cases in which delegation must be made prior to the candidate fully satisfying the established criteria above, compensatory measures shall be established.

Note that there are field elements supporting more than one program office at a single site. To be consistent with line management responsibility for safety, the Assistant Manager, Environmental Management (AMEM), at the Idaho and Oak Ridgefield offices

may be delegated safety authorities. These delegations must be made with the knowledge of the lead program field element manager.

PROCESS ATTRIBUTES:

1. Delegating officials shall establish a documented process or procedure to ensure that delegations are made carefully and accurately, consistent with the process criteria and attributed defined here.
 2. Delegating official shall establish their minimum expectations in terms of individual and organizational capability and capacity for the various delegations.
 3. Delegating officials shall document their review of these criteria for every delegation made.
 4. Delegations shall only be made to individuals; not to position. Delegations shall clearly identify to the extent to which further delegations are allowed, consistent with this criteria.
 5. Delegations processes should consider the judgment of at least two senior managers.
 6. Compensatory measures related to this process shall receive concurrence from the applicable CTA prior to delegation of authority.
 7. Delegations shall be reviewed periodically (at least once every two years) to ensure that individuals and organizations satisfy these criteria and attributes.
 8. Periodic reviews shall be documented with the same criteria and rigor as the original delegations. Using the results of the delegation review, the reviewing officials shall recommend to the applicable delegating officials whether to confirm, revise, or rescind delegations or institute compensatory measures and/or corrective actions, as needed.
 9. The CTA support staff shall periodically review the delegation process to evaluate whether it is adequate and functioning properly and identify any concerns to the CTA, who will notify the Under Secretary and CSO, recommending action as appropriate.
- II. Performing Periodic Self-Assessments on Assignment of Responsibilities or Delegation of Authorities to Headquarter Personnel

The DOE Under Secretary or CSO with safety responsibilities related to nuclear facilities must periodically review assigned safety responsibilities or delegated safety authorities and verify that the necessary capability and capacity to perform its responsibilities/authorities exists. Safety responsibilities are documented in the DOE Safety Management Functions, Responsibilities, and Authorities Manual (DOE M 411.1-D, i.e., DOE FRAM), and corresponding Functions, Responsibilities, and

Authorities documents. Unless otherwise prohibited, authority to take the necessary actions to fulfill the safety functions documented in the DOE FRAM may be delegated to either subordinate field or Headquarter personnel.

PROCESS CRITERIA:

1. A comprehensive self-assessment shall be performed periodically (at intervals no greater than two years) to verify that individuals and their organizations maintain the necessary capability and capacity to carry out assigned safety responsibilities or delegated safety authorities.
2. Upon conducting the self-assessments based on criteria listed in 3) below, if the necessary capability and/or capacity to carry out assigned safety responsibilities or delegated safety authorities are found lacking, compensatory measures, corrective actions, or rescissions shall be instituted as necessary.
3. The following are the criteria by which individual and/or organizational capability and/or capacity shall be measured:
 - a. Individuals and their organizations to whom safety responsibilities are assigned possess the necessary qualifications, experience, and expertise to carry out these responsibilities.
 - b. Organizations with safety responsibilities have the proper framework of processes and procedures to implement the assigned responsibilities; and
 - c. Organizations with safety responsibilities have adequate resources, including sufficient staff and funding, to carry out assigned responsibilities.

PROCESS ATTRIBUTES:

1. CSOs shall establish their minimum expectations in terms of individual and organizational capability for the assigned safety responsibilities.
2. Delegation processes shall also address delegation of authority to subordinate Headquarter personnel.
3. CSOs shall establish a documented process or procedure to ensure that self-assessments are consistent with the process criteria and attributes defined here.
4. The self-assessment shall identify all assigned safety responsibilities.
5. The self-assessment shall be documented and shall include documentation of the review of all criteria above in Section II, Process Criteria, for each assigned safety responsibility.
6. Self-assessments shall be performed by qualified, experienced personnel.

7. Compensatory measures, corrective actions, or rescissions shall be defined for any deficiencies identified by the self-assessment and must be approved by the Under Secretary or CSO, as applicable.
8. The CTA support staff shall independently review the self-assessment for associated offices and identify any concerns to the CTA, who will notify the Under Secretary and CSO, recommending actions as appropriate.

8. ORGANIZATIONAL FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES DOCUMENTS

DOE management is responsible for communicating delegated actions and assignments to their subordinate managers, supervisors, and staff clearly. In accordance with DOE P 111.1, *Departmental Organization Management System*, line, support, oversight, and enforcement organizations must develop and issue FRAs, which must clearly define how the organization's safety functions and responsibilities are to be carried out—who is expected to do what.

FRAs must establish flowdown of responsibilities from the Under Secretaries; Secretarial Officers; the Assistant Secretary for Environment, Safety and Health; and the Director of the Office of Security and Safety Performance Assurance to subordinate managers and organizations, and field organizations.

Field office organizations with missions that affect the safety of work performed at DOE facilities are also required to develop and implement FRAs.

FRAs can be written in any format but must—

- describe the respective organizations and line management,
- provide a breakdown of functions listed in this Manual and other safety directives,
- identify any authority that has been transferred to or from another organization,
- be updated to reflect changes to delegations of authority, and
- generally describe the process for control and revision of the document.

FRAs should be accessible for all employees online or in hard copy. Documentation of current delegation or rescission of delegation not yet incorporated into the FRA should be attached.

TABLE 1
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES OF THE SECRETARY

Functions	Responsibilities	Authorities and DOE Directives	Delegation	Notes
Succession Planning	Establish a plan for succession of authority.	Atomic Energy Act of 1954 (AEA), Sec. 161		DOE O 100.1C, <i>Secretarial Succession</i>
Environment, Safety, and Health	Advance the goals of restoring, protecting, and enhancing environmental quality and ensuring public health and safety.	Department of Energy Organization Act, Sec. 102	<p>Delegation Order 00-002.00A assigns the authority to the Under Secretary for Energy, Science and Environment to—</p> <ul style="list-style-type: none"> ▪ assert the Federal government’s deliberative process privilege regarding environmental management matters within the Under Secretary’s cognizance and ▪ nominate, appoint, review the term of and terminate the service of members of the Environmental Management Site Specific Advisory Board. 	This delegation is made to protect internal pre-decisional DOE documents in judicial or administrative proceedings where the court may require the claim to be formally asserted by an affidavit from an Agency official.
Federal Employee Occupational Safety and Health (FEOSH)	Establish and maintain an effective and comprehensive FEOSH program.	<p>Occupational Safety and Health Act E.O. 12196, <i>Occupational Safety and Health Programs for Federal Employees</i> <i>29 CFR Part 1960, Basic Program Elements for Federal Employee Occupational Safety and Health Programs and Related Matters</i> DOE O 440.1A DOE HQ O 442.1</p>		<p>The Assistant Secretary for Environment, Safety and Health is the designated agency safety and health officer (DASHO) responsible for defining FEOSH requirements and guidance.</p> <p>The Office of Management is responsible for implementing FEOSH requirements at DOE headquarters facilities. All DOE organizations are responsible for implementing FEOSH.</p>

TABLE 1 (continued) FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES OF THE SECRETARY				
Functions	Responsibilities	Authorities and DOE Directives	Delegation	Notes
Rules, Regulations, and Orders for Safety	Prescribe procedural and administrative rules, regulations, and orders necessary for management of DOE functions.	AEA, Sec. 161 DOE Organization Act, Sec. 644	Delegation Order No. 00-015.00 assigns responsibility to the Office of General Council to notify Congress when a rule is issued.	
Nuclear Safety Policy	Responsibility for the safe operation of DOE nuclear facilities	Secretarial Notice (SEN) 35-91	Delegation Order 00-002.00A assigns the to the Under Secretary for Energy, Science and Environment authority to direct the head of a field organization to curtail or suspend operations of nuclear reactors/nuclear facilities, or related activities when continuing operations might result in an undue risk to the environment and/or to the safety and health of workers or the public. This delegation order does not apply to the National Nuclear Security Administration.	
Nuclear Safety Research	Responsible for integrating needs for, assigning priorities to, and working to ensure those priorities are met for nuclear safety research.	DNFSB 2004-1 Implementation Plan		Function resides within the Office of Assistant Secretary for Environment, Safety and Health
Special Nuclear Material (SNM)	Authority to authorize delivery of SNM to the Department of Defense as necessary for new cores for new military reactors and replacement cores for existing military reactors and for miscellaneous purposes (other than use in atomic weapons) for which the Congress has authorized funds.	National Security Decision Directive 282	Delegation Order 00-002.00A assigns to the Under Secretary for Energy, Science and Environment authority to approve transfer of SNM to the Departments of the Army, Air Force, and Navy (Navy Facilities Engineering Command only). Delegation Order 00-003.00 assigns authority to— <ul style="list-style-type: none"> • authorize transfer of SNM to the Department of the Navy and • distribute SNM under Section 54 of the AEA. 	

TABLE 1 (continued) FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES OF THE SECRETARY				
Functions	Responsibilities	Authorities and DOE Directives	Delegation	Notes
Utilization Facilities	Authorize the Department of Defense to manufacture, produce, or acquire utilization facilities for military purposes for which Congress has authorized funds.	National Security Decision Directive 282	Delegation Order 00-002.00A assigns authority to authorize the Departments of the Army, Air Force, and Navy to manufacture, produce, or acquire utilization facilities other than nuclear powered ships for which Congress has authorized funds to the Under Secretary for Energy, Science and Environment.	
Management of Byproduct Material	Issue rules, regulations, or orders to require— <ul style="list-style-type: none"> ▪ monitoring, ▪ remedial work, ▪ studies, ▪ inspections, and ▪ other measures to protect health or minimize danger to life or property. 	AEA, Sec. 84 (42 U.S.C. 2014, 6901, and 2112)	Delegation Order 00-003.00 assigns to NNSA Administrator authority to distribute byproduct material under sections 64 and 82 of the AEA. Delegation Order 00-002.00A assigns to the Under Secretary for Energy, Science and Environment authority approve Departments of the Army, Air Force, and Navy to manufacture, produce, or acquire utilization facilities other than nuclear powered ships for which Congress has authorized funds.	
Civil Penalties/ Enforcement	<ul style="list-style-type: none"> ▪ Impose civil penalties for violations of Department rules, regulations, or Orders. ▪ Compromise, modify, or remit civil penalties. ▪ Determine by rule whether nonprofit educational institutions should receive automatic remission of civil penalties. ▪ Appoint an administrative law judge as a presiding officer in enforcement adjudication (10 CFR 820.26). 	AEA, Sec. 84 (42 U.S.C. 2014, 6901, and 2112) and Sec. 234A 10 CFR Part 820 42 U.S.C. 7274d	Delegation Order 00-002.00A assigns the following authorities to the Under Secretary for Energy, Science and Environment: <ul style="list-style-type: none"> ▪ formulate and establish enforcement policy; ▪ initiate and conduct investigations; ▪ conduct conferences and administrative and public hearings; ▪ prepare required reports; and ▪ issue orders. 10 CFR Part 820 assigns the following authority to the director of enforcement— <ul style="list-style-type: none"> ▪ issue preliminary notices of violation 	Delegation Order 99.002.00A assigns responsibilities to the Under Secretary that are inconsistent with the reassignment of EH to the Deputy Secretary. The Deputy Secretary should be responsible for establishing enforcement actions and policy.

TABLE 1 (continued) FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES OF THE SECRETARY				
Functions	Responsibilities	Authorities and DOE Directives	Delegation	Notes
	<ul style="list-style-type: none"> ▪ File final orders that modify initial decisions (10 CFR 820.32). ▪ Issue notices of review (10 CFR 820.32). ▪ Issue compliance orders (10 CFR 820.40). ▪ Issue stays of effectiveness for compliance orders (10 CFR 820.43 and 820.67). ▪ Assess civil penalties against any DOE contractor who— <ul style="list-style-type: none"> ○ employs individuals who are engaged in hazardous substance response or emergency response at DOE nuclear weapons facilities; and ○ fails to— <ul style="list-style-type: none"> – provide for the training of individuals to carry out hazardous substance response or emergency response, or – certify that employees are adequately trained for response pursuant to orders relating to employee safety training. 		<p>(10 CFR 820.24) and</p> <ul style="list-style-type: none"> ▪ issue final notices of violation (10 CFR 820.25). <p>The NNSA Act states that officers or employees carrying out any NNSA function are not responsible to, or subject to the authority, direction, or control of any other officer, employee, or agent of the Department of Energy.”</p> <p>The Memorandum of Understanding between the Administrator for the National Nuclear Security Administration and the Assistant Secretary for Environment, Safety and Health addresses special enforcement provisions at NNSA facilities.</p>	

TABLE 1 (continued) FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES OF THE SECRETARY				
Functions	Responsibilities	Authorities and DOE Directives	Delegation	Notes
Radiation Protection	<ul style="list-style-type: none"> ▪ Ultimate authority on actions necessary to comply with requirements of DOE 5400.5 Chg 2. ▪ Authority to suspend any or all requirements in DOE 5400.5 Chg 2. 	DOE O 5400.5 Chg 2	<p>The relevant DOE authority (the individual or office with assigned responsibility) makes initial determination.</p> <p>The Secretary may delegate authority to suspend requirements.</p>	
Radioactive Waste Management	Approve imposition of more stringent requirements on radioactive waste programs than those imposed by the Nuclear Regulatory Commission.	DOE HQ O 250.1	<p>The Secretary has sole jurisdiction.</p> <p>Delegation Order 00-002.00A assigns to the Under Secretary for Energy, Science and Environment authority to sign all documents and take other actions necessary to submit for publication in the <i>Federal Register</i> notices concerning actions undertaken to implement the authorities and functions provided in the Nuclear Waste Policy Act of 1982 (P.L. 97-425).</p>	The authority delegated does not include rulemaking.
Transuranic Waste	<ul style="list-style-type: none"> ▪ Manage and store spent nuclear fuel or high-level or transuranic radioactive wastes at facilities regulated by the Nuclear Regulatory Commission. ▪ Determine what waste does not need the degree of isolation required by 40 CFR Part 191 (and excluded from the definition of transuranic waste). 	40 CFR Part 191 DOE M 435.1-1 Chg 1		Decisions must be made in consultation with the Environmental Protection Agency Administrator.

TABLE 1 (continued) FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES OF THE SECRETARY				
Functions	Responsibilities	Authorities and DOE Directives	Delegation	Notes
Nuclear Explosives and Weapons Safety	<ul style="list-style-type: none"> Final decisions on nuclear weapon and nuclear weapon system safety, security, and control issues. Establish policy to ensure surety of all nuclear explosive operations (NEOs) conducted by DOE, including the National Nuclear Security Administration (NNSA), and DOE contractors. Responsible for surety of all NEOs conducted by DOE and NNSA and DOE contractors. Establish explicit documented agreements with the Secretary of Defense for any overriding reasons for not incorporating modern surety features in the design of nuclear weapons. 	DOE O 5610.13 DOE O 452.1C		
Nuclear Reactor Safety Design Criteria	<ul style="list-style-type: none"> Ultimate authority on actions necessary to comply with the requirements of DOE 5480.30 Chg 1. Approve permanent exemptions from DOE 5480.30 Chg 1. 	DOE O 5480.30 Chg 1	Authority may be delegated by the Secretary.	NOTE: Need to account for and highlight CTAs' functions and roles. Copy of recommendations for exemptions should be sent to the Assistant Secretary for Environment, Safety and Health who will use the information to advise the Secretary.

TABLE 1 (continued) FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES OF THE SECRETARY				
Functions	Responsibilities	Authorities and DOE Directives	Delegation	Notes
Facility Safety	<ul style="list-style-type: none"> ▪ Ultimate authority on actions necessary to comply with the requirements of DOE O O 420.1B. ▪ Authority to suspend any or all requirements in DOE O O 420.1B. 	DOE O 420.1B	Authority may be delegated by the Secretary.	
Startup and Restart of Nuclear Facilities	Approve initial startup of new hazard category 1 and 2 nuclear facilities.	DOE O 425.1C	Authority may be delegated by the Secretary ¹⁵ .	
Substance Abuse	<ul style="list-style-type: none"> ▪ Provide general policy direction for DOE drug testing program. ▪ Determine designated testing positions ▪ Determine whether to include or exempt certain positions or groups of positions from the drug testing program. ▪ Determine the percentage of employees to be tested. 	DOE O 3792.3 Chg 1 E.O. 12564		
DOE Directives System	Approve all DOE Policy documents issued as part of the DOE Directives System.	DOE M 251.1-1A		

¹⁵ In a memorandum dated April 3, 2002, the Secretary delegated authorities in DOE O 425.1C to Under Secretary for Energy, Science and Environment for the facilities under his cognizance.

TABLE 1 (continued) FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES OF THE SECRETARY				
Functions	Responsibilities	Authorities and DOE Directives	Delegation	Notes
Aviation Safety	Appoint the Director of the Office of Aviation Management (OAM). Establish an Aviation Board of Directors. Resolve differences between the NNSA Administrator and the director of OAM with respect to approval of— <ul style="list-style-type: none"> • aviation implementation plans and • remotely operated aircraft policies. 	DOE O 440.2B		
Defense Nuclear Facilities Safety Board (DNFSB) Interface	<ul style="list-style-type: none"> ▪ Provide to DNFSB full cooperation and ready access to Departmental facilities, personnel, and information. ▪ Respond to DNFSB recommendations in accordance with the board's enabling statute¹⁶. Provide the DNFSB with implementation plans for each accepted recommendation, and approve any subsequent plan changes. ▪ Provide annual reports to Congress concerning board-related activities of the Department. 	AEA Sections 314 and 316 DOE M 140.1-1B		

¹⁶ Atomic Energy Act of 1954 as amended, Sections 311–321 (42 U.S.C. § 2286 et. Sec.), *Defense Nuclear Facilities Safety Board*.

TABLE 2
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES OF THE DEPUTY SECRETARY

Functions	Responsibilities	Authorities	Can authority be delegated?	Notes
Chief Operating Officer	<ul style="list-style-type: none"> Integrate corporate programs. Integrate support activities with line programs. Review all staff and support office policy and guidance that affects the field. 	Delegation Order 00-001.00A	No	
National Nuclear Security Administration (NNSA)	Exercise authority, direction, and control including, but not limited to issuance of regulations, directives, and policy that apply to the NNSA and the authority of the Secretary mentioned in sections 3203, 3213, 3242, 3243, and 3292 of the NNSA Act.	Delegation Order 00-001.00A	No	
Duties of the Secretary	In the event of the absence of the Secretary, perform the duties of the Secretary.	DOE O 100.1C		
Federal Technical Capability Panel (FTCP)	<ul style="list-style-type: none"> Advise and support the FTCP. Resolve issues where the FTCP cannot reach agreement. Approve exceptions to the senior technical safety manager qualifications. 	DOE M 426.1-1A		
Relief from Section 501(b) of the DOE Organization Act	Determine where strict compliance with section 501(b) of the DOE Organization Act would be likely to cause serious harm or injury to the public health, safety, or welfare.	Delegation Order 00-001.00A	No	
DOE Directives	Chair the Directives Management Board (DMB).	DOE M 251.1-1A		
Defense Nuclear Facilities Safety Board (DNFSB) Interface	<ul style="list-style-type: none"> Ensure Department of Energy (DOE) properly addresses DNFSB issues. Resolve disagreements within DOE on priorities and approaches to DNFSB issues. Resolve disagreements on which Cognizant Secretarial Officer is responsible for response to DNFSB recommendations, correspondence, or other issues. Chair the Senior Management Team. Provide guidance to DOE management on resolution of DNFSB issues. Brief the Secretary in cases where a unified Departmental position cannot be achieved to respond to a DNFSB issue. 	DOE M 140.1-1B		
Aviation Safety	Resolve differences between the director of the Office of Aviation Safety and the Administrator for Nuclear Security regarding aviation implementation plans and other aviation issues.	DOE O 440.2B		

TABLE 2 (continued)
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES OF THE DEPUTY SECRETARY

Functions	Responsibilities	Authorities	Can authority be delegated?	Notes
Environmental Impact Statements (EISs)	Resolve differences of opinion between the Administrator of the National Nuclear Security Administration and the Assistant Secretary for Environment, Safety and Health regarding EISs or EIS-related matters.	DOE O 451.1B Chg 1		
Corrective Action Plans (CAPs)	Resolve comments on CAPs that cannot be agreed upon.	DOE O 470.2B		
Independent Oversight	Conduct independent oversight within the Department and report directly to the Secretary (See Table 8).	DOE O 470.2B	No	

TABLE 3
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR THE UNDER SECRETARY
FOR ENERGY, SCIENCE AND ENVIRONMENT

Functions	Responsibilities	Authorities	Can authority be delegated?	Notes
Central Technical Authority (CTA)	Ensures the availability of technical expertise and operational awareness necessary for adequate and proper implementation of the Department's safety program by line management. CTA line management responsibilities include <ul style="list-style-type: none"> • core nuclear safety functions • maintenance of operational of nuclear safety requirements implementation and standards • ensuring consistent and appropriate application of the requirements as necessary to provide adequate assurance of nuclear safety. 	Secretarial Memorandum dated 4-26-05		
Stop Work	Direct heads of field organizations to curtail or suspend operations of nuclear reactors, nuclear facilities, or related activities when in the opinion of the Under Secretary, continuing operations might pose an undue risk to the environment and/or to the safety and health of DOE or contractor employees or to the public.	Delegation Order 00-002.00A	No	
Environmental Issues	On a nonexclusive basis, assert the Federal Government's deliberative privilege with respect to environmental management matters arising under the Under Secretary's cognizance. This delegation is made to protect internal pre-decisional Department of Energy (DOE) documents in judicial or administrative proceedings where the court may require the claim to be asserted formally by an affidavit from an Agency official.	Delegation Order 00-002.00A		
Environmental Management Site Specific Advisory Board	U.S.C. Nominate, appoint, renew the term of, and terminate the service of members of the Environmental Management Site Specific Advisory Board [Section 624 of the DOE Organization Act (42 U.S.C. 7234) and in accordance with the Federal Advisory Committee Act (5 U.S.C. App.2)].	Delegation Order 00-002.00A		
Radioactive Waste Management	Sign all documents and take such other actions as may be necessary and appropriate for the submission for publication to the Federal Register of notices concerning actions undertaken to implement the authorities and functions provided in the Nuclear Waste Policy Act of 1982 (P.L. 97-425).	Delegation Order 00-002.00A	See delegations to the Director, Office of Civilian Radioactive Waste Management in Redelegation Order 00-002.06.	The authority delegated does not include rulemaking authority.

TABLE 3 (continued) FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR THE UNDER SECRETARY FOR ENERGY, SCIENCE AND ENVIRONMENT				
Functions	Responsibilities	Authorities	Can authority be delegated?	Notes
Environment, Safety and Health	<ul style="list-style-type: none"> Protect the environment and the safety and health of public and workers at ESE facilities and sites. Comply with applicable requirements. Issue and meet procedures for meeting requirements. 			
Yucca Mountain Site Characterization Progress Reports	Develop and transmit site characterization progress reports for the Yucca Mountain (Nevada) site to Congress, the Nuclear Regulatory Commission, the Nevada Governor and legislature, and other interested parties [Section 113(b)(3) of the Nuclear Waste Policy Act of 1982, as amended (P.L. 97-425, as amended by Title V, Subtitle A, of P.L. 100-203)].	Delegation Order 00-002.00A		Report on a semiannual basis. Requires the concurrence by the General Counsel and the Assistant Secretary for Congressional and Intergovernmental Affairs before transmittal.
Transfer of Special Nuclear Material (SNM)	<ul style="list-style-type: none"> Authorize transfer of SNM to the Departments of the Army, Air Force, and Navy (Navy Facilities Engineering Command only) as necessary for new military reactor cores, existing military reactor replacement cores, and miscellaneous purposes (other than use in atomic weapons) for which Congress has authorized funds. Authorize the Departments of the Army, Air Force, and Navy to manufacture, produce, or acquire utilization facilities (other than nuclear powered ships) for which Congress has authorized funds. 	Delegation Order 00-002.00A	See redelegation to the Director for Nuclear Energy, Science, and Technology in Redelegation Order 00-002.05.	

TABLE 3 (continued) FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR THE UNDER SECRETARY FOR ENERGY, SCIENCE AND ENVIRONMENT				
Functions	Responsibilities	Authorities	Can authority be delegated?	Notes
Civil Penalties/Enforcement ¹⁷	<ul style="list-style-type: none"> ▪ Formulate and establish enforcement policy. ▪ Initiate and conduct investigations. ▪ Conduct conferences, administrative hearings, and public hearings. ▪ Prepare required reports. ▪ Issue orders. 	Delegation Order 00-002.00A		See AEA, Sec. 84 (42U.S.C. 2014, 6901, 2112) and Sec. 234A and 10 CFR Part 820.

¹⁷ See the Memorandum of Understanding between the Administrator for the National Nuclear Security Administration and the Assistant Secretary for *Environment, Safety and Health* for special provisions regarding enforcement at NNSA facilities.

TABLE 4 FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR THE UNDER SECRETARY FOR NUCLEAR SECURITY/ADMINISTRATOR FOR THE NATIONAL NUCLEAR SECURITY ADMINISTRATION (NNSA)				
Functions	Responsibilities	Authorities	Can authority be delegated?	Notes
Central Technical Authority (CTA)	Ensures the availability of technical expertise and operational awareness necessary for adequate and proper implementation of the Department's safety program by line management. CTAs are line management executives responsible for core nuclear safety functions including maintaining operational awareness of the implementation of nuclear safety requirements and standards to ensure consistent and appropriate application of the requirements as necessary to provide adequate assurance of nuclear safety.	Secretarial Memorandum dated 4-26-05		
Environment, Safety, and Health	<ul style="list-style-type: none"> Protect the environment and the safety and health of public and workers at NNSA facilities and sites. Comply with applicable requirements. Issue and meet procedures for meeting requirements. 	National Nuclear Security Administration Act, Oct. 5, 1999, (NNSA Act)	Deputy administrator for Defense Programs by memo from Linton Brooks, dated June 25, 2003.	
Integrated Safety Management	Formal organized process for planning, organizing, assessing, and improving the safe conduct of work.	NNSA Act DOE P 450.4		
Weapons Stockpile Safety	Enhance safety, reliability, and performance.	NNSA Act DOE O 452.3, Management of the DOE Nuclear Weapons Complex		
Special Nuclear Material (SNM)	<ul style="list-style-type: none"> Authorize transfer to the Department of the Navy. Distribute SNM under Section 54 of the Atomic Energy Act of 1954 (AEA). 	Delegation Order 00-003.00	Authority may be delegated to the Deputy Administrator for Naval Reactors and may not be delegated further.	
Utilization Facilities	Authorize the Department of the Navy to manufacture, produce, or acquire utilization facilities for which Congress has authorized funds (e.g., nuclear powered ships) .	Delegation Order 00-003.00	Authority may be delegated to the Deputy Administrator for Naval Reactors and may not be delegated further.	
Source and Byproduct Material	Distribute source and byproduct material under Sections 64 and 82 of the AEA.	Delegation Order 00-003.00		

TABLE 5		
COGNIZANT SECRETARIAL OFFICER (CSO) ASSIGNMENTS		
Symbol	CSO	Site/Laboratory
NA-1	Under Secretary for Nuclear Security/Administrator for the National Nuclear Security Administration (Deputy Administrator for Defense Programs and Deputy Administrator for Defense Nuclear Nonproliferation ¹⁸)	<ul style="list-style-type: none"> ▪ Los Alamos National Laboratory ▪ Sandia National Laboratories ▪ Pantex Plant ▪ Kansas City Plant ▪ Fissile Material Disposition Facilities ▪ Savannah River Tritium Facilities ▪ Lawrence Livermore National Laboratory ▪ Y-12 ▪ Nevada Test Site
EM-1	Assistant Secretary for Environmental Management	<ul style="list-style-type: none"> ▪ Office of River Protection ▪ Mound Environment Management Project ▪ Grand Junction Project Office ▪ Waste Isolation Pilot Project ▪ Fernald Environment Management Project ▪ West Valley Demonstration Project ▪ Ashtabula Environmental Management Project ▪ Columbus Environmental Management Project ▪ Hanford Site ▪ Pacific Northwest National Laboratory ▪ Fast Flux Test Facility ▪ Rocky Flats Environmental Technology Site (RFETS) ▪ Savannah River Site ▪ Idaho Nuclear Technology and Engineering Center at INL ▪ Paducah/Portsmouth ▪ ETTP, K-25, Weldon Spring, etc ▪ Energy Technology Engineering Center
SC-1	Director of the Office of Science	<ul style="list-style-type: none"> ▪ Argonne National Laboratory - East ▪ Brookhaven National Laboratory ▪ Ames Laboratory ▪ Princeton Plasma Physics Laboratory ▪ Fermi National Accelerator Laboratory ▪ Environmental Measurements Laboratory ▪ Oak Ridge National Laboratory ▪ Thomas Jefferson National Accelerator Facility ▪ Lawrence Berkeley National Laboratory Stanford Linear Accelerator Center
EE-1	Assistant Secretary for Energy Efficiency and Renewable Energy	<ul style="list-style-type: none"> ▪ National Renewable Energy Laboratory

¹⁸ In a memorandum dated June 25, 2003, the Under Secretary for Nuclear Security/Administrator for the National Nuclear Security Administration (NNSA) delegated the authority to serve as the Secretarial Officer for environment, safety, and health matters at the eight NNSA-owned facilities to the Deputy Administrator for Defense Programs. This delegation does not apply to facilities being designed and constructed by the Deputy Administrator for Defense Nuclear Nonproliferation. The division of Program Secretarial Officer responsibility for NNSA facilities is addressed in the NNSA FRA document.

TABLE 5 (continued) COGNIZANT SECRETARIAL OFFICER (CSO) ASSIGNMENTS		
Symbol	CSO	Site/Laboratory
EH-1	Assistant Secretary for Environment, Safety and Health	<ul style="list-style-type: none"> ▪ Radiological and Environmental Sciences Laboratory
NE-1	Director of the Office of Nuclear Energy, Science and Technology	<ul style="list-style-type: none"> ▪ Idaho National Laboratory (INL) ▪ Test Reactor Area ▪ Argonne National Laboratory – West
SO-1	Director of the Office of Security and Safety Performance	<ul style="list-style-type: none"> ▪ New Brunswick Laboratory¹⁹
FE-1	Assistant Secretary for Fossil Energy	<ul style="list-style-type: none"> ▪ National Energy Technology Laboratory – Morgantown ▪ National Energy Technology Laboratory – Pittsburgh ▪ Arctic Energy Office ▪ Albany Research Center ▪ National Petroleum Technology Office ▪ Naval Petroleum Reserve – California ▪ Rocky Mountain Oil Field Testing Center ▪ Strategic Petroleum Reserve – Bryan Mound ▪ Strategic Petroleum Reserve – Bill Hill ▪ Strategic Petroleum Reserve – Bayou Choctow ▪ Strategic Petroleum Reserve – Project Office ▪ Strategic Petroleum Reserve – West Hackberry
RW-1	Director of the Office of Civilian Radioactive Waste Management	<ul style="list-style-type: none"> ▪ Yucca Mountain Site
ME-1	Director of the Office of Management	<ul style="list-style-type: none"> ▪ DOE Headquarters Buildings
LM-1	Office of Legacy Management	<ul style="list-style-type: none"> ▪ Grand Junction

¹⁹ Reports through the Chicago Operations Office. *(need to verify)*

TABLE 6
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR
COGNIZANT SECRETARIAL OFFICERS

Functions	Responsibilities	Authorities	Can authority be delegated?	Notes
Integrated Safety Management (ISM)	ISM safety system descriptions (including the Environmental Management System or EMS) that addresses the five core functions: <ul style="list-style-type: none"> ▪ Define the scope of work. ▪ Analyze the hazards. ▪ Develop and implement hazard controls. ▪ Perform work within controls. ▪ Provide feedback and continuous improvement. 	DOE P 450.4 DOE O 450.1 Chg 2 48 CFR 970.5204-2 48 CFR 970.5215-3	Yes	Annual review. EMS to be implemented by 12-05.
Safety Basis	<ul style="list-style-type: none"> ▪ Safety Evaluation Report. ▪ Safety Basis Information System (SBIS). ▪ Documented Safety Analysis (DSA). ▪ Technical Safety Requirements (TSRs) and other hazard controls. ▪ Preliminary DSA. ▪ Unreviewed safety questions ▪ Alternate methodologies for DSAs. ▪ Hazard Categorization. 	10 CFR Part 830, Subpart B DOE O 420.1B 48 CFR 970.5223-1	Yes	Annual update for DSA and TSRs. Annual submittal for USQs. Quarterly reports to SBIS. Concurrence from the Office of Environment, Safety and Health is required for DSA/TSR methodology other than safe harbor methodologies in Table 2 of Appendix A to 10 CFR Part 830.
Radiation Protection	<ul style="list-style-type: none"> ▪ Radiation protection program (RPP). ▪ Monitoring programs. ▪ As low as reasonably achievable (ALARA) process. ▪ Notification to the public. 	10 CFR Part 835 DOE P 441.1 DOE O 5400.5 Chg 2	Yes	Update RPP when changes are made to program
Accident Investigation	<ul style="list-style-type: none"> ▪ Type A and B investigations. ▪ Investigation reports. ▪ Corrective action plans (CAPs). 	DOE O 225.1A	Yes	

TABLE 6 (continued)
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR
COGNIZANT SECRETARIAL OFFICERS

Functions	Responsibilities	Authorities	Can authority be delegated?	Notes
Beryllium Disease Prevention	<ul style="list-style-type: none"> ▪ Record keeping. ▪ Chronic Beryllium Disease Prevention Program. ▪ Baseline beryllium inventory. ▪ Formal exposure reduction and minimization program. ▪ Respiratory protection program. ▪ Medical surveillance program. ▪ Beryllium training program. ▪ Postings. ▪ Reporting beryllium sensitization. 	10 CFR Part 850 29 CFR 1910	Yes	
Quality Assurance (QA)	<ul style="list-style-type: none"> ▪ QA Program ▪ Management and independent assessments ▪ Software QA (SQA) ▪ Suspect/counterfeit parts 	10 CFR Part 830, Subpart A DOE O 414.1C DOE O 440.1A	Yes	SQA requirements must be updated when DOE directive on SQA replaces DOE N 411.1.
Startup and Restart of Nuclear Facilities	<ul style="list-style-type: none"> ▪ DOE operational readiness reviews or readiness assessments. ▪ Startup notification reports. 	DOE O 425.1C	Yes	
Radioactive Waste Management	<ul style="list-style-type: none"> ▪ Implement the requirements of DOE O 435.1 Chg 1. ▪ Ensure field element managers meet the requirements of DOE M 435.1-1 Chg 1. 	DOE O 435.1 Chg 1 DOE M 435.1-1 Chg 1	Yes (see DOE M 435.1-1 Chg 1)	
ES&H reporting	<ul style="list-style-type: none"> ▪ Log of occupational fatalities, injuries, and illnesses. ▪ Log of work-related injuries. ▪ Summary of work-related injuries. ▪ Individual accident/incident reports. ▪ Injury and illness reports. ▪ Radiological exposure data. ▪ ES&H assessment reports. ▪ Summary report of ES&H self-assessments. ▪ Report of fatalities or multiple 	DOE M 231.1-2 DOE O 231.1A Chg 1 10 CFR Part 820 40 CFR Part 61 DOE O 450.1 Chg 2 E.O. 13101 E.O. 13148 10 CFR Part 835	Yes	<i>Annual reports:</i> <ul style="list-style-type: none"> ▪ ES&H assessment reports and the summary report of ES&H self- assessments. ▪ NESHAP reports. ▪ Report on the Department's progress in implementing E.O. 13101. <i>Quarterly reports:</i> <ul style="list-style-type: none"> ▪ Individual

TABLE 6 (continued) FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR COGNIZANT SECRETARIAL OFFICERS				
Functions	Responsibilities	Authorities	Can authority be delegated?	Notes
	hospitalizations. <ul style="list-style-type: none"> Occurrence reports. Implementation procedures. Event categorization and notification of significant occurrences. Reports of noncompliance with nuclear safety regulations (recommended reports). DOE annual site environmental reports. National emission standards for hazardous air pollutants (NESHAP) reports. DOE data for annual reporting to Office of Management and Budget(OMB) under E.O.s 13101 and 13148. Performance analysis reports and identification and reporting of recurring events. 			accident/incident reports and injury and illness reports. <ul style="list-style-type: none"> Reports on periodic performance analysis and identification and reporting of recurring events. <i>45 day reports:</i> Submit Occurrence Reporting and Processing System final reports within 45 days or provide an update report (note: occurrence reports are normally contractor reports, but DOE has responsibilities with respect to the reports as defined in DOE M 231.1-2).
Civil Penalties/ Enforcement	Referrals to the Office of Price- Anderson Enforcement and support throughout the enforcement process.	10 CFR Part 820 Price-Anderson Amendments Act Atomic Energy Act of 1954	No	
Lessons Learned Program	Development and dissemination of lessons learned.	DOE M 140.1-1B DOE O 225.1A DOE O 231.1A Chg 1 DOE M 231.1-2 DOE O 425.1C DOE O 440.1A DOE O 451.1B Chg 1 DOE O 460.1B DOE O 5480.19 Chg. 2	Yes	

TABLE 6 (continued)
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR
COGNIZANT SECRETARIAL OFFICERS

Functions	Responsibilities	Authorities	Can authority be delegated?	Notes
Operating Experience Program	Designate an Operating Experience Program Coordinator(s) to ensure coordination between the Programs and Field Office Elements Monitor and trend performance indicators within and among assigned programs. Ensure that the contractor is held responsible for the site-specific lessons learned function and that DOE oversight of this function is integrated with DOE oversight of ISMS, occurrence reporting and quality assurance. Ensure the requirements in the CRD are included in applicable contracts within 3 months after approval of this Order and initiators of procurement requests identify, in procurement requests, whether the requirements in the CRD are to be applied to the award or sub-contractor awards resulting from the procurement request and any special instructions for the application of the CRD.		DRAFT DOE O 210.X	
Corrective Action Plans (CAPs)	CAPs. CAP verification.	DOE O 225.1A DOE O 414.1C DOE O 470.2B	Yes	
Nuclear and Explosives and Weapon Safety (Facility Safety)	<ul style="list-style-type: none"> ▪ Authorization agreements. ▪ Nuclear Explosives Weapons Surety Program. ▪ Nuclear Weapons Surveillance Program. ▪ Nuclear explosive safety study reports. ▪ Certification that nuclear explosive surety standards have been met. ▪ Nuclear explosive safety study reports. ▪ Nuclear explosive rules. ▪ Authorizations for nuclear explosive 	DOE O 420.1B (Chapter I) DOE O 452.1C DOE O 452.2B DOE O 452.3	Yes	

TABLE 6 (continued) FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR COGNIZANT SECRETARIAL OFFICERS				
Functions	Responsibilities	Authorities	Can authority be delegated?	Notes
	operations (NEOs). <ul style="list-style-type: none"> ▪ Comprehensive safety program for NEOs. ▪ Nuclear Explosives Safety Program. ▪ Safety basis. ▪ Operation hazard analysis reports. ▪ Facility safety analyses. ▪ Hazard controls. ▪ Implementation plans for nuclear and explosive safety design criteria. 			
Fire Protection (Facility Safety)	Fire protection program.	DOE O 420.1B (Chapter II)	Yes	
Criticality Safety (Facility Safety)	Nuclear criticality safety program.	DOE O 420.1B (Chapter III)	Yes	
Natural Phenomena Hazards (NPHs) (Facility Safety)	<ul style="list-style-type: none"> ▪ NPH assessments. ▪ Seismic reports. ▪ Dam safety reports. 	DOE O 420.1B (Chapter IV) E.O.s 12699 and 12941 P.L. 104-303 DOE O 5480.4 Chg 4	Yes	Update as necessary, at least every 10 years.
Safety System Engineer Program (Facility Safety)	Cognizant system engineer.	DOE O 420.1B (Chapter V)	Yes	
Configuration Management (Facility Safety)	Configuration management plans	DOE O 420.1B (Chapter V) DOE O 452.2B	Yes	
Maintenance	Maintenance implementation plans (MIPs)	DOE O 433.1	Yes	Update MIPs every 2 years.
Worker Protection	<ul style="list-style-type: none"> ▪ Notification of excesses of illnesses or injuries that require epidemiological analyses. ▪ Records of occupational fatalities, injuries, and illnesses. ▪ Reports of subcontractor accident information. 	DOE M 231.1-2 DOE M 231.1-1A Chg 1 DOE O 440.1A	Yes, except for exemptions related to Occupational Safety and Health Administration (OSHA) standards.	

TABLE 6 (continued) FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR COGNIZANT SECRETARIAL OFFICERS				
Functions	Responsibilities	Authorities	Can authority be delegated?	Notes
	<ul style="list-style-type: none"> ▪ Worker Protection Program. ▪ Postings. ▪ Accident investigations. ▪ Hazard prevention/abatement program. ▪ Workplace inspections. ▪ Safety and health plans. ▪ Fire Protection Program (life safety). ▪ Industrial hygiene programs. ▪ Pressure safety policies. ▪ Motor vehicle safety programs. ▪ Suspect and counterfeit part controls. ▪ Construction hazards analyses. ▪ Occupational Medical Program. ▪ Employee job tasks and hazards analysis information. ▪ Summaries of workplace exposures. ▪ Health examinations. ▪ Employee counseling and health promotion. 			
Firearm Safety (Facility Safety)	Firearms safety policies and procedures	DOE O 440.1A	Yes, except for exemptions related to OSHA standards.	
Explosives Safety (other than nuclear weapons)	<ul style="list-style-type: none"> ▪ Process hazards analyses. ▪ List of explosive and hazardous materials. ▪ Process hazards analyses. ▪ Safety analysis of explosives facilities. ▪ Classification of hazards contents. ▪ Access control procedures. ▪ Storage review programs. ▪ Placards. ▪ Explosives emergency control plans. 	DOE M 440.1-1	Yes, except for exemptions related to OSHA standards.	

TABLE 6 (continued) FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR COGNIZANT SECRETARIAL OFFICERS				
Functions	Responsibilities	Authorities	Can authority be delegated?	Notes
Aviation Safety	<ul style="list-style-type: none"> ▪ Aviation implementation plans. ▪ Maintenance and inspection programs. ▪ Aviation safety programs. 	DOE O 440.2B	Yes, except for site General Counsel authority to approve certain travel.	
Health Programs	Promotes the health and safety of DOE's workers and communities surrounding DOE sites; develops comprehensive and effective safety and health policy for DOE workplace hazards, and support studies and medical screenings to understand the effects of radiation and other potential hazards of DOE operations on humans.			
National Environmental Policy Act (NEPA) Compliance	<ul style="list-style-type: none"> ▪ Annual mitigation reports. ▪ Annual NEPA planning summaries. ▪ NEPA Compliance Program. ▪ NEPA QA plans. ▪ Environmental impact statements and associated notices. ▪ Environmental assessments. ▪ Records of Decision. ▪ Public participation plans. ▪ Mitigation action plans. ▪ Independent reviews of proposed actions under NEPA. ▪ Review of DOE NEPA compliance. ▪ EMS. 	DOE O 450.1 Chg 2 DOE O 451.1B Chg 1 DOE M 231.1-2 NEPA DOE P 141.2 10 CFR Part 1021	DOE O 451.1B Chg 1 contains specific provisions on delegation.	
Conduct of Operations	Ensure conduct of operations provisions are incorporated into contractor programs and procedures.	DOE O 5480.19 Chg 2	Yes	
Biological Agents	Program for biological agents.	DOE N 450.7	Yes	

TABLE 6 (continued) FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR COGNIZANT SECRETARIAL OFFICERS				
Functions	Responsibilities	Authorities	Can authority be delegated?	Notes
Packaging and transportation Safety	<ul style="list-style-type: none"> ▪ Packaging approval. ▪ Transportation Safety Analysis Report (TSAR). ▪ Transportation plan. ▪ Onsite packaging and transfer procedures. ▪ Carrier evaluations. ▪ Reports to Tracking and Communications System. ▪ Packaging and transportation plans ▪ Transportation system risk assessments. ▪ Implementation Plan for DOE O 461.1A ▪ Packaging and transportation procedures. ▪ Letter to governor or tribal leader for offsite. ▪ Transportation Safety Document. ▪ Safety Analysis Report for Packaging. 	DOE O 460.1B DOE O 460.2A DOE O 461.1A DOE M 460.2-1	Yes	Update TSAR every 5 years.
Federal Employee Occupational Safety and Health (FEOSH)	<ul style="list-style-type: none"> ▪ FEOSH program. ▪ Federal Employee Industrial Health Program. ▪ Federal Employee Occupational Medical Program. ▪ Designated Cognizant Secretarial Officer Occupational Safety and Health Manager. 	DOE HQ O 442.1 DOE O 440.1A	Yes	
Appraisals, Assessments, and Self-Assessments	Perform various appraisals and assessments as required by DOE directives.	10 CFR Part 830, Subpart A DOE O 414.1C DOE O 420.1B DOE O 226.1 DOE O 450.1 Chg 2 Implementation Plan for Defense Nuclear Facilities Safety Board Recommendation 2002-2, <i>Configuration of Vital Safety Systems</i>	Yes	

TABLE 6 (continued) FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR COGNIZANT SECRETARIAL OFFICERS				
Functions	Responsibilities	Authorities	Can authority be delegated?	Notes
Line management environment, health and safety (ES&H) oversight	<ul style="list-style-type: none"> ▪ Monitor field element and contractor performance ▪ When appropriate, participate in field element appraisals, assessments, surveillances and walkthroughs of contractor facilities and activities ▪ Conduct onsite reviews of field element's performance, including verifications of their appraisals of the contractor, as necessary 	DOE O 226.1	Yes	
Substance Abuse	Workplace substance abuse program.	10 CFR Part 707 DOE O 471.3 DOE O 350.1 Chg 1 DOE O 440.1A DOE O 3792.3 Chg 1 48 CFR 970.2305 48 CFR 970.5223 48 CFR 923.570	Yes	
Employee Protection	Posted regulations.	10 CFR Part 708 DOE O 442.1A 48 CFR 970.0309	Yes	Quarterly reports.
Organizational Staffing and Competency	<ul style="list-style-type: none"> ▪ Employee training and qualification. ▪ DOE staffing plans. ▪ Oversight of contractor training and qualification plans. ▪ Facilities representatives program. 	10 CFR 830.122 DOE 5480.20A Chg 1 DOE M 426.1-1A DOE O 360.1B	Yes	
DOE Technical Standards Program	Assign technical standards managers for DOE offices and contractors.	DOE O 252.1 P.L. 104-113 OMB Circular A-119	Yes	

TABLE 6 (continued) FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR COGNIZANT SECRETARIAL OFFICERS				
Functions	Responsibilities	Authorities	Can authority be delegated?	Notes
Organization Functions, Responsibilities, and Authorities Documents	Functions, responsibilities, and authorities document for organizations.	DOE P 411.1 DOE M 411.1-1D	No	Update organizational Functions, Responsibilities, and Authorities documents annually. DNFSB Interface
DNFSB Interface	<ul style="list-style-type: none"> ▪ Assign responsible manager for assigned issue. ▪ Implement DOE policy with respect to the DNFSB. ▪ Support other DOE managers in responding to DNFSB. ▪ Designate Point of Contact. 	DOE M 140.1-1B	Yes	

**TABLE 7
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR THE ASSISTANT SECRETARY OF
ENVIRONMENT, SAFETY AND HEALTH**

Functions	Responsibilities	Authorities	Can authority be delegated?	Notes
Environmental Issues	<p>As the Agency environmental executive, monitor environmental programs related to—</p> <ul style="list-style-type: none"> ▪ procurement and acquisition, ▪ waste prevention and recycling, and ▪ reports on progress. <p>Advise the Secretary with respect to conformance of the Department's activities to environmental protection laws and principles, and conduct a comprehensive program of research and development on the environmental effects of energy technologies and programs.</p> <p>As the Agency environmental executive, monitor environmental programs related to—</p> <ul style="list-style-type: none"> ▪ environmentally preferable product procurement and acquisition, ▪ pollution prevention including waste prevention and recycling, and ▪ corporate reports on progress. ▪ EMS <p>Advise the Secretary with respect to:</p> <ul style="list-style-type: none"> ▪ conformance of the Department's activities to environmental protection activities to environmental protection laws and principles, and 	<p>DOE O 450.1 Chg 2</p> <p>The Department of Energy (DOE) Organization Act (P.L 95-91, as amended), Sec. 203 (a)(3)</p> <p>DOE .O 450.1 Chg 2</p> <p>E.O. 13101</p> <p>DOE M 411.1-1D</p> <p>DOE O 5400.5 Chg 2</p> <p>E.O. 13148</p>	Yes	
National Environmental Policy Act (NEPA)	<ul style="list-style-type: none"> ▪ Issue notices of intent for environmental impact statements (EISs). ▪ Approve EISs. ▪ Independent review of proposed actions under NEPA. ▪ Review of DOE NEPA compliance. ▪ Notices of intent for EISs. ▪ Policy, guidance, and oversight for NEPA compliance. ▪ Issue Notices of Intent for Environmental Impact Statements (EISs). ▪ Approve EISs. 	<p>DOE O 451.1B Chg 1</p> <p>10 CFR Part 1021</p>	Yes	

TABLE 7 (continued)
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR THE ASSISTANT SECRETARY OF
ENVIRONMENT, SAFETY AND HEALTH

Functions	Responsibilities	Authorities	Can authority be delegated?	Notes
	<ul style="list-style-type: none"> ▪ Conduct independent reviews of proposed actions under NEPA. ▪ Provide DOE policy, guidance, and oversight for NEPA compliance. ▪ Concur in the environmental content of Records of Decision ▪ •Determine whether a proposed action not clearly allowable as an interim action under NEPA regulations may proceed. ▪ Grant appropriate variances from DOE NEPA regulations or DOE Order 451.1B ▪ Advise the Secretary on DOE's NEPA Compliance Program ▪ Direct a Secretarial Officer or Head of Field Organization to prepare an EIS or environmental assessment ▪ Resolve disagreements among multiple involved offices regarding assignment of NEPA responsibilities 			
Environment, Safety, and Health (ES&H) Policies, Regulations, Directives, and Guidance (Rules, Regulations, and Orders for Safety	<ul style="list-style-type: none"> ▪ Policies. ▪ Regulations/rules. ▪ Orders. ▪ Notices. ▪ Manuals. ▪ Guides. 	Administrative Procedure Act (APA) DOE O 231.1A Chg 1 DOE M 231.1-2 DOE O 251.1A DOE M 251.1-1A DOE P 410.1A AEA Price-Anderson Amendments Act (PAAA) E.O. 13148 DOE O 450.1 Chg 2 DOE P 411.1 E.O.13101 DOE O 5400.5 Chg 2	Some authorities cannot be delegated.	The NNSA Act states that "Each officer or employee of the Administration, in carrying out any function of the Administration shall not be responsible to, or subject to the authority, direction, or control of, any other officer, employee, or agent of the Department of Energy."

TABLE 7 (continued) FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR THE ASSISTANT SECRETARY OF ENVIRONMENT, SAFETY AND HEALTH				
Functions	Responsibilities	Authorities	Can authority be delegated?	Notes
Federal Employee Occupational Safety and Health (FEOSH)	Requirements and guidance for the Department of Energy (DOE) FEOSH program.	DOE O 440.1A	No	The NNSA Act states that “Each officer or employee of the Administration, in carrying out any function of the Administration ...shall not be responsible to, or subject to the authority, direction, or control of, any other officer, employee, or agent of the Department of Energy.”
Budget and Contracts	<ul style="list-style-type: none"> Office of Environment, Safety and Health budget. Review of operating contract budgets to ensure ES&H is adequately addressed. 	DOE O 130.1 DOE O 135.1A Office of Management and Budget (OMB) Circular A-11	No	
Safety Analysis, Hazard Controls, and Hazard Categorization	<ul style="list-style-type: none"> Requirements and guidance. Concurrence on alternate methodologies other than safe harbor methodologies in Table 2 to Appendix A of 10 CFR Part 830. Concurrence on other documents when requested. Safety Basis Information System (SBIS). 	10 CFR Part 830, Subpart B 29 CFR 1910.1450 29 CFR 1910.120 DOE O 420.1B DOE O 420.2B	Yes	Annual update for Documented Safety Analyses and Technical Safety Requirements. Annual submittal for unreviewed safety questions. Quarterly reports to SBIS. The NNSA Act states that “Each officer or

TABLE 7 (continued)
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR THE ASSISTANT SECRETARY OF
ENVIRONMENT, SAFETY AND HEALTH

Functions	Responsibilities	Authorities	Can authority be delegated?	Notes
				employee of the Administration, in carrying out any function of the Administration ...shall not be responsible to, or subject to the authority, direction, or control of, any other officer, employee, or agent of the Department of Energy.”
Radiation Protection	Approve— <ul style="list-style-type: none"> planned special exposures, alternate dosimetry, and exemptions. Issue policies and guidance.	10 CFR Part 835 DOE P 441.1 DOE O 5400.5 Chg 2	Yes, except for exemptions.	
Startup and Restart of Nuclear Facilities	<ul style="list-style-type: none"> Conduct independent reviews of startups in coordination with the Program Secretarial Officer. Review and comment on startup and restart procedures, implementation plans, plans of action, and final reports. 	DOE O 425.1C DOE O 420.2B	Yes	
Corrective Action Management Program (CAMP)	<ul style="list-style-type: none"> Monitor and report on the Corrective Action Management Program (CAMP). Review CAPs from Type A and B investigations. Enter all findings and Judgments of Need into the Corrective Action Tracking System (CATS). Maintain the CATS database. 	DOE O 225.1A DOE O 414.1C DOE O 470.2B	Yes	
ES&H Reporting	Maintain the following reporting systems: <ul style="list-style-type: none"> Computerized Accident/Incident Reporting System (CAIRS), 	N DOE O 231.1A Chg 1 DOE M 231.1-2 E.O. 13101	Yes	Annual ES&H assessment reports and annual summary

TABLE 7 (continued)
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR THE ASSISTANT SECRETARY OF
ENVIRONMENT, SAFETY AND HEALTH

Functions	Responsibilities	Authorities	Can authority be delegated?	Notes
	<ul style="list-style-type: none"> ▪ Occurrence Reporting and ▪ Processing System, and ▪ Noncompliance Tracking System. <p>Annual corporate reports to OMB on Department's progress on E.O. 13101 and 13148.</p>	E.O. 13148 DOE O 450.1 Chg 2		report of ES&H self-assessment. Annual report on the Department's progress in implementing E.O. 13101 and 13148.
Accident Investigation	<ul style="list-style-type: none"> ▪ Type A and B investigations. ▪ Notifications. ▪ Lessons learned. ▪ CAPs. ▪ Investigation reports. ▪ Appoint officials for Type A Boards. 	DOE O 225.1A	Yes	
Reporting to External Organizations	<p>Reports to external agencies for which the Office of Environment, Safety and Health is responsible include—</p> <ul style="list-style-type: none"> ▪ seismic reports, ▪ dam safety reports, ▪ pollution prevention and abatement plans, ▪ annual summary of occupational illnesses and injuries, ▪ annual reports to the Environmental Protection Agency, ▪ historical/cultural reporting, and ▪ Interagency Nuclear Safety Review Panel reports of nuclear space applications to the President's Science Advisor. 	OMB A-119 E.O. 13148 E.O. 12941 P.L. 104-303, the Water Resources Development Act of 1996 Presidential Directive PD/NSC/25		
DOE Technical Standards	<ul style="list-style-type: none"> ▪ Technical Standards Program. ▪ DOE standards executive to represent DOE's interests on consensus standards-setting organizations and the Interagency Committee on Standards Policy. ▪ Report to meet OMB Circular ▪ A-119. 	DOE O 252.1 DOE P 251.1 DOE M 251.1-1A P.L. 104-113 OMB A-119	Yes	Annual report to meet OMB-119.

TABLE 7 (continued)
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR THE ASSISTANT SECRETARY OF
ENVIRONMENT, SAFETY AND HEALTH

Functions	Responsibilities	Authorities	Can authority be delegated?	Notes
Exemptions	Grant or concur as authorized in regulations or Orders.	10 CFR Part 820, Subpart E DOE M 251.1-1A Exemption processes as specified in individual DOE Orders Exemption processes as authorized for external regulations	See authorities.	
Quality Assurance (QA)	<ul style="list-style-type: none"> ▪ DOE directives and regulation for ▪ QA ▪ Office of Environment, Safety, and Health QA Program ▪ Software QA ▪ Suspect/Counterfeit Parts 	10 CFR Part 830, Subpart A DOE O 440.1A DOE O 414.1C Chg 1	Yes, however promulgation of regulations must follow APA and DOE rulemaking procedures.	SQA requirements must be updated when DOE directive on SQA replaces DOE N 411.1.
Fire Protection (Facility Safety)	Authority having jurisdiction (in the Office of Environment, Safety and Health).	DOE O 420.1B (Chapter II)	Yes	
Health Programs				<i>EH-5 Provide Input</i>
Lessons Learned, Feedback, and Improvement	Develop and disseminate lessons learned.	DOE M 140.1-1B DOE O 225.1A DOE N 231.2 DOE O 231.1A Chg 1 DOE M 231.1-2 DOE O 414.1C DOE O 425.1C DOE O 440.1A DOE O 451.1B Chg 1 DOE O 460.1B DOE O 5480.19 Chg 2		
Operating Experience (OE) Program	The primary functions of the DOE OE Program are to collect, screen, trend, and evaluate DOE-wide and site/facility-specific operational events, lessons learned from within and outside of DOE, and to assure insights and relevant lessons learned are used to improve the			

TABLE 7 (continued) FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR THE ASSISTANT SECRETARY OF ENVIRONMENT, SAFETY AND HEALTH				
Functions	Responsibilities	Authorities	Can authority be delegated?	Notes
	safety and reliability of DOE missions and programs. The resultant corporate applications are improved implementation of safety requirements so that safety vulnerabilities can be identified, prioritized, communicated and resolved on a timelier basis. As such, the OE Program is the key complement in the DOE ISMS program through enhancement of the feedback process.			
DOE Laboratory Accreditation Program (DOELAP)	Develop and implement the DOELAP in coordination with Cognizant Secretarial Officers, contractors, and industry.	10 CFR 835		
DNFSB Interface	<ul style="list-style-type: none"> ▪ Act as the Deputy Secretary's agent on crosscutting issues. ▪ Work with line management and program offices to identify and address obstacles that arise in the course of implementing corrective actions in response to issues that require action by multiple organizations. ▪ Evaluate planned actions to ensure that collectively they are responsive to the DNFSB concerns and underlying causes. 	Memorandum from Deputy Secretary McSlarrow, March 31, 2003 Letter from Deputy Secretary McSlarrow to DNFSB Chairman Conway, March 18, 2003 DOE M 140.1-1B	Yes	Monthly reports to Deputy Secretary on status and problems.
Technical Qualifications	Ensure EH employees are qualified to perform their assigned functions. Provide adequate resources and support for FTCP. Implement FTCP for EH. Ensure EH personnel are qualified to perform their safety management functions and these	DOE M 411.1-1D DOE O 360.1B DOE M 360.1-1B DOE O 414.1C DOE M 426 .1-1A		

TABLE 7 (continued)
FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR THE ASSISTANT SECRETARY OF
ENVIRONMENT, SAFETY AND HEALTH

Functions	Responsibilities	Authorities	Can authority be delegated?	Notes
	qualifications are reflected in position descriptions and performance criteria.			
Civil Penalties/ Enforcement	Enforcement program	10 CFR Part 820 Price-Anderson Amendments Act Atomic Energy Act of 1954, Section 234a Memorandum of Understanding between the Administrator for the National Nuclear Security Administration and the Assistant Secretary for Environment, Safety and Health, January 12, 2001.	Most enforcement activities are assigned directly to the Office of Enforcement by 10 CFR Part 820. These cannot be delegated. In addition, 10 CFR Part 820 prohibits delegation of exemption authority.	The NNSA Act states that “Each officer or employee of the Administration, in carrying out any function of the Administration ...shall not be responsible to, or subject to the authority, direction, or control of, any other officer, employee, or agent of the Department of Energy.”
Safety Management Functions, Responsibilities and Authorities Manual (DOE M 411.1-1D) and Organizational Functions, Responsibilities and Authorities document	<ul style="list-style-type: none"> ▪ Update DOE M 411.1-1 annually. ▪ Post DOE M 411.1-1 and any overriding Secretarial Memoranda on web page. ▪ Update EH Functions, Responsibilities, and Authorities document annually. 	DOE M 411.1-1D		

TABLE 7 (continued) FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR THE ASSISTANT SECRETARY OF ENVIRONMENT, SAFETY AND HEALTH				
Functions	Responsibilities	Authorities	Can authority be delegated?	Notes
Safety Oversight	<ul style="list-style-type: none"> ▪ Develop and maintain the DOE Safety Oversight Manual 	DOE O 226.1 ←		
Nuclear Safety Research Program	<ul style="list-style-type: none"> ▪ Integrate for DOE nuclear safety research being performed inside and outside of DOE. ▪ Identify DOE needs for nuclear safety research, analysis and testing. ▪ Prioritize potential research projects based on technical need (safety) and based on value. ▪ Obtain independent, informed advice on both the activities of ONSR as well as the prioritization of nuclear safety research projects. ▪ Plan, contract, direct or conduct nuclear safety research, analysis and testing. ▪ Disseminate the results of nuclear safety research to DOE nuclear facility operators, designers, and policy-makers to effect improvement in margins of safety. ▪ Publish results. <ul style="list-style-type: none"> ○ Maintain a web site providing all stakeholders and the public access to procedures, activities, projects, and results. ○ Publish an annual report of the research projects and activities of the Office of Nuclear Safety Research. ○ Publish a quarterly journal of several technical papers on the results of nuclear safety research. 	DNFSB 2004-1 Implementation Plan		

TABLE 8 FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR THE DIRECTOR OF THE OFFICE OF SECURITY AND SAFETY PERFORMANCE ASSURANCE				
Functions	Responsibilities	Authorities	Can authority be delegated?	Notes
Independent oversight of Environment, Safety, and Health (ES&H)	<ul style="list-style-type: none"> ▪ Develop and maintain DOE ES&H independent oversight and performance assurance policies, procedures, standards, and guidelines. ▪ Advise appropriate site and Headquarters managers promptly (within 24 hours) of major vulnerabilities or imminent danger identified during appraisal activities at evaluated sites. ▪ Direct, manage, and conduct ES&H independent oversight programs. ▪ Provide DOE managers with independent evaluations of environment, safety, and health policies, programs, and implementation. 	DOE O 470.2B DOE O 226.1	No	
Appraisals, Assessments, and Self-Assessments	<ul style="list-style-type: none"> ▪ Coordinate the scheduling, notification, and planning of appraisals with appropriate cognizant secretarial officers and heads of field elements. ▪ Ensure environment, safety, and health On a selected basis, conduct appraisals to verify and validate the effectiveness of corrective actions and to confirm closure of findings. ▪ Coordinate with the applicable DOE policy organizations to resolve environment, safety, and health policy findings or deficiencies and to ensure accurate interpretation of requirements. ▪ Maintain awareness of the status of findings and ratings identified during appraisals. ▪ Brief senior DOE officials, including the Under Secretaries, cognizant secretarial officers, the Office of Security, DOE policy organizations, and the managers of DOE sites, on the results of appraisal activities. ▪ Ensure comments are resolved or elevate comments until resolution is obtained. If needed, elevate comments to the Deputy Secretary and/or the Secretary for resolution 	DOE O 470.2B	No	

TABLE 8 (continued) FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES FOR THE DIRECTOR OF THE OFFICE OF SECURITY AND SAFETY PERFORMANCE ASSURANCE				
Functions	Responsibilities	Authorities	Can authority be delegated?	Notes
Corrective Action Plans(CAPs)	Review CAPs and provide comments, when necessary, within prescribed time frames.	DOE O 470.2B	No	
Corrective Action Tracking System (CATS)	Ensure ES&H findings (and related information) are entered into the CATS.	DOE O 470.2B	No	
Civil Penalties/ Enforcement	Coordinate with the Office of Price- Anderson Enforcement when appraisal activities identify any potential noncompliance with rules, consistent with the Price-Anderson Amendments Act.	DOE O 470.2B	No	
Organizational Staffing and Competency	Implement a Technical Qualification Program for all DOE employees whose duties and responsibilities require them to provide oversight that could impact the safe operation of a defense nuclear facility.	DOE M 426.1-1A	Yes	
Organization Functions, Responsibilities, and Authorities Documents	Maintain the OA Functions, Responsibilities, and Authorities Document.	DOE P 411.1 DOE M 411.1-1D	No	Update annually
Defense Nuclear Facilities Safety Board (DNFSB) Interface	Cooperate with the DNFSB, including ready access to OA inspection results, and respond to DNFSB recommendations, as applicable.	DOE M 140.1-1B	Yes	

APPENDIX A. ACRONYMS AND ABBREVIATIONS

AEA	Atomic Energy Act of 1954
APA	Administrative Procedures Act
CAP	Corrective Action Plan
CATS	Corrective Action Tracking System
CDNS	Chief of Defense Nuclear Safety
CFR	Code of Federal Regulations
CNS	Chief of Nuclear Safety for ESE
CSO	Cognizant Secretarial Office
CTA	Central Technical Authority
DASHO	Designated Agency Safety and Health Officer
Department	Department of Energy
DMB	Directives Management Board
DNFSB	Defense Nuclear Facilities Safety Board
DOE	Department of Energy
DOELAP	DOE Laboratory Accreditation Program
DSA	Documented Safety Analysis
EIS	environmental impact statement
EMS	Environmental Management System
E.O.	Executive order
ES&H	environment, safety, and health
FEM	field element manager
FEOSH	Federal employee occupational safety and health
FTCP	Federal Technical Capability Panel
HQ	(DOE) Headquarters
ISM	Integrated Safety Management

NEO	nuclear explosive operation
NEPA	National Environmental Policy Act
NESHAP	National Emission Standards for Hazardous Air Pollutants
NNSA	National Nuclear Security Administration
NPH	natural phenomenon hazard
OAM	Office of Aviation Management
OMB	Office of Management and Budget
OPI	Office of Primary Interest
PAAA	Price-Anderson Amendments Act
QA	quality assurance
RPP	radiation protection program
SBIS	Safety Basis Information System
Secretary	Secretary of Energy
SNM	Special Nuclear Material
SQA	Software Quality Assurance
TSR	Technical Safety Requirements
TSAR	Transportation Safety Analysis Report
USQ	Unreviewed safety question

APPENDIX B. CITATIONS AND AUTHORITIES

Federal Statutes, Acts, Executive Orders and other Authorities		
Reference Number	Title	Manual Section
Title 5, United States Code (5 U.S.C.)	<i>Administrative Procedure Act (APA)</i>	Table 7
42 U.S.C	<i>Atomic Energy Act of 1954 (AEA)</i>	Chapter 3, 4, and 6,
Public Law (P.L.) 93-438	<i>Energy Reorganization Act of 1974</i>	Tables 1, 2, 4, 6, and 7
P.L. 95-91	<i>DOE Organization Act</i>	Chapter 3, 4
42 U.S.C. (P.L. 91-190)	<i>National Environmental Policy Act (NEPA)</i>	Chapter 4 and7
42 U.S.C. 7274d	<i>National Defense Authorization Act for fiscal years 1992 and 1993</i>	Tables 1,2,3,and 7
P.L. 106-377	<i>National Nuclear Security Administration Act (NNSA) Act in the National Defense Authorization Act for 2000</i>	Table 6 and 7
P.L. 104-113	<i>National Technology Transfer and Advancement Act of 1995</i>	
P.L. .97-425 as amended by Title V, Subtitle A of P.L. 100-203	<i>Nuclear Waste Policy Act of 1982 (NWPA)</i>	Chapter 4 and7
42 U.S.C. 2011 (P.L. 100-408)	<i>Price Anderson Amendments Act of 1988 (PAAA)</i>	Tables 1, 2, 4, and 7
P.L. 104-303	<i>Water Resources Development Act of 1996</i>	
Executive Order (E.O.) 12196	<i>Occupational Safety and Health Programs for Federal Employees</i>	Table 6, 7
E.O. 12564	<i>Drug-Free Federal Workplace</i>	
E.O. 12699	<i>Seismic Safety Of Federal and Federally Assisted or Regulated New Building Construction</i>	Table 1and 3
E.O. 12941	<i>Seismic Safety of Existing Federally Owned or Leased Building</i>	Chapter 5
E.O. 13101,	<i>Greening the Government Through Waste Prevention, Recycling, and Federal Acquisition</i>	Table 7
E.O. 13148	<i>Greening the Government Through Leadership in Environmental Management</i>	Table 7
Presidential Directive PD/NSC/25	<i>Scientific or Technological Experiments with Possible Large-Scale Adverse Environmental Affects and Launch of Nuclear systems into space</i>	Chapter 6
National Security Decision Directive 282	<i>Continuing Authority to Deliver Nuclear Materials and to Acquire Utilization Facilities</i>	Table 1
OMB Circular A-119	<i>Federal Participation in the Development and Use of Voluntary Consensus Standards and in Conformity Assessment Activities</i>	Table 1
OMB Circular A-11	<i>Preparation, Submission and Execution of the Budget</i>	Table 7

Code of Federal Regulations		
Reference Number	Title	Manual Section
10 CFR Part 707	<i>Workplace Substance Abuse Programs at DOE Sites</i>	Table 6
10 CFR Part 708	<i>DOE Contractor Employee Protection Program</i>	Table 6
10 CFR Part 820	<i>Procedural Rules for DOE Nuclear Activities</i>	Tables 1, 3, 6, 7
10 CFR Part 830	<i>Nuclear Safety Management</i>	Table 6, 7
10 CFR Part 830	<i>Nuclear Safety Management, Subpart A, Quality Assurance</i>	
10 CFR Part 830	<i>Nuclear Safety Management, Subpart B, Safety Basis</i>	
10 CFR Part 834	<i>Radiation Protection of the Public and the Environment (proposed)</i>	
10 CFR Part 835	<i>Occupational Radiation Protection</i>	Table 6, 7
10 CFR Part 850	<i>Chronic Beryllium Disease Prevention Program</i>	Table 6
10 CFR Part 851	<i>Worker Safety Program (proposed)</i>	
10 CFR Part 852	<i>Guidelines for Physician Panel Determinations on Worker Requests for Assistance in Filing for State Workers' Compensation Benefits</i>	
10 CFR Part 1021	<i>National Environmental Policy Act Implementing Procedures</i>	Tables 6, 7
10 CFR Part 1022	<i>Compliance with Floodplain and Wetlands Environmental Review Requirements</i>	
29 CFR Part 1910	<i>Occupational Safety and Health Standards</i>	Tables 6, 7
29 CFR Part 1960	<i>Basic Program Elements for Federal Employee Occupational Safety and Health Programs and Related Matters</i>	Chapter 6 Table 1
40 CFR Part 61	<i>National Emission Standards for Hazardous Air Pollutants</i>	Table 6
40 CFR Part 191	<i>Environmental Radiation Protection Standards for Management and Disposal of Spent Nuclear Fuel, High- Level and Transuranic Radioactive Wastes</i>	Table 1
48 CFR 923.570	<i>Workplace Substance Abuse Programs at DOE Sites</i>	
48 CFR 970.0309	<i>Whistleblower Protection Of Contractor Employees.</i>	Table 6
48 CFR 970.2305	<i>Workplace Substance Abuse Programs -- Management and Operating Contracts</i>	Table 6
48 CFR 970.5204-2	<i>Laws, Regulations, and DOE Directive</i>	Chapter 1 Table 6
48 CFR 5215-3	<i>Contracting by Negotiation</i>	Table 6
48 CFR 970.5223-1	<i>Integration of Environment, Safety and Health into Work Planning and Execution</i>	Chapter 1 Table 6
48 CFR 970.5223-3	<i>Agreement Regarding Workplace Substance Abuse Programs at DOE Facilities.</i>	Table 6
48 CFR 970.5223-4	<i>Workplace Substance Abuse Programs at DOE Sites</i>	Table 6

DOE Policies			
Reference Number	Title	OPI	Manual Section
DOE P 111.1	<i>Departmental Organization Management System</i>	OS	Chapter 8
DOE P 141.1	<i>Department of Energy Management of Cultural Resources</i>	EH	Table 6
DOE P 251.1	<i>Directives System Policy</i>	ME	Table 7
DOE P 410.1A	<i>Promulgating Nuclear Safety Requirements</i>	GC	Table 7
DOE P 411.1	<i>Safety Management Functions, Responsibilities, and Authorities Policy</i>	EH	Chapter 1,5, & 8 Tables 6, 7, & 8
DOE P 441.1	<i>DOE Radiological Health and Safety Policy</i>	EH-5	
DOE P 450.7	<i>Environment, Safety and Health (ESH) Goals</i>	EH-4	
DOE P 450.3	<i>Authorizing Use of the Necessary and Sufficient Process for Standards-Based Environment, Safety and Health Management</i>	EH-2	
DOE P 450.4	<i>Safety management system policy</i>	EH	Chapter 1 Tables 4 & 6
DOE O 226.1	<i>Implementation of Department of Energy Oversight Policy</i>	NA	Table 6
DOE P 454.1	<i>Use of Institutional Controls</i>	EH-4	

DOE Orders, Manuals, Notices			
Reference Number	Title	OPI	Manual Section
DOE O 100.1C	<i>Secretarial Succession</i>	OS	Chapter 1 Tables 1,2
DOE O 130.1	<i>Budget Formulation</i>	ME	Table 7
DOE O 135.1A	<i>Budget Execution - Funds Distribution and Control</i>	ME	Table 7
DOE M 140.1-1B	<i>Interface With The Defense Nuclear Facilities Safety Board</i>	OS	Chapter 6 Tables 1, 2, 6, 7, 8
DOE O 225.1A	<i>Accident Investigations</i>	EH	Table 6, 7
DOE M 231.1-1A Chg 1	<i>Environment, Safety, and Health Reporting Manual</i>	EH	Table 6, 7
DOE M 231.1-2	<i>Occurrence Reporting and Processing of Operations Information</i>	EH	Table 6, 7
DOE O 231.1A Chg 1	<i>Environment, Safety, and Health Reporting</i>	EH	Tables 6, 7
DOE M 251.1-1A	<i>Directives System Manual</i>	ME	Chapter 3, Tables 1, 2, 7
DOE O 251.1A	<i>Directives System</i>	ME	Chapter 3 Table 7
DOE O 252.1	<i>Technical Standards Program</i>	EH	Tables 6, 7
DOE O 350.1 Chg 1	<i>Contractor Human Resource Management Programs</i>	ME	Table 6
DOE O 360.1B	<i>Federal Employee Training</i>	ME	Table 6
DOE M 411.1-1D	<i>Safety Management Functions, Responsibilities, and Authorities Manual</i>	EH	Tables 6, 7, and 8
DOE O 414.1C	<i>Quality Assurance</i>	EH	Tables 6, 7
DOE O 420.1B	<i>Facility Safety</i>	EH	Tables 1, 6, 7
DOE O 420.2B	<i>Safety of Accelerator Facilities</i>	SC	Table 7
DOE O 425.1C	<i>Startup and Restart of Nuclear Facilities</i>	EH	Tables 1, 6, 7
DOE M 426.1-1A	<i>Federal Technical Capability Manual</i>	ME	Tables 2, 6, 8
DOE O 433.1	<i>Maintenance Management Program for DOE Nuclear Facilities</i>	EH	Table 6
DOE M 435.1-1 Chg 1	<i>Radioactive Waste Management Manual</i>	EM	Table 1 and 6

DOE Orders, Manuals, Notices (continued)			
Reference Number	Reference Number	Reference Number	Reference Number
DOE O 435.1Chg 1	<i>Radioactive Waste Management</i>	EM	Table 6
DOE M 440.1-1	<i>DOE Explosives Safety Manual</i>	EH	Table 6
DOE O 440.1A	<i>Worker Protection Management for DOE Federal and Contractor Employee</i>	EH	
DOE O 440.2B	<i>Aviation Management and Safety</i>	ME	Tables 1, 2, 6
DOE O 442.1A	<i>Department of Energy Employee Concerns Program</i>	EH	Table 6
DOE HQ O 442.1	<i>Headquarters Occupational Safety and Health Program</i>	EH	Chapter 2 Tables 1 and 6
DOE O 450.1 Chg 2	<i>Environmental Protection Program</i>	EH	Tables 6, 7
DOE M 450.3-1	<i>DOE Closure Process for Necessary and Sufficient Sets of Standards</i>	EH-2	
DOE N 450.7	<i>The Safe Handling, Transfer, and Receipt of Biological Etiologic Agents at Department of Energy Facilities</i>	EH	Table 6
DOE N 450.14	<i>Extension of DOE N 450.7, the Safe Handling, Transfer, and Receipt of Biological Etiologic Agents At Department of Energy Facilities</i>	EH-5	
DOE O 451.1B Chg 1	<i>National Environmental Policy Act Compliance Program</i>	EH	Tables 2, 6, 7
DOE O 452.1C	<i>Nuclear Explosive and Weapons Surety Program</i>		Tables 1 and 6
DOE O 452.2B	<i>Safety of Nuclear Explosives Operations</i>		Table 6
DOE O 452.3	<i>Management of DOE Nuclear Weapons Complex</i>		
DOE O 460.1B	<i>Packaging and Transportation Safety</i>	EM	Tables 6, 7
DOE M 460.2-1	<i>Radioactive Material Transportation Practices</i>	EM	Table 6
DOE O 460.2A	<i>Departmental Materials Transportation and Packaging Management</i>	EH	Table 6
DOE O 461.1A	<i>Packaging and Transfer or Transportation of Materials of National Security Interest</i>	NA	Table 6
DOE O 470.2B	<i>Independent Oversight and Performance Assurance Program</i>	OA	Chapter 6 Tables 2, 6, 7, and 8
DOE O 470.4	<i>Safeguards and Security Program</i>	SO	Table 6
DOE M 470.4-1	<i>Safeguards and Security Program Planning and Management</i>		Table 6
DOE O 3792.3 Chg 1	<i>Drug-Free Federal Workplace Testing Implementation Program</i>	ME	Tables 1 and 6
DOE O 5400.5 Chg 2	<i>Radiation Protection of the Public and the Environment</i>	EH	Tables 1, 6, and 7
DOE O 5480.4 Chg 4	<i>Environmental Protection, Safety, and Health Protection Standards</i>	EH	Tables 1 and 6
DOE O 5480.19 Chg 2	<i>Conduct of Operations Requirements for DOE Facilities</i>	EH	Table 6 and 7

DOE Orders, Manuals, Notices (continued)			
Reference Number	Reference Number	Reference Number	Reference Number
DOE O 5480.20A Chg 1	<i>Personnel Selection, Qualification, and Training Requirements for DOE Nuclear Facilities</i>	EH	Table 6
DOE O 5480.30 Chg 1	<i>Nuclear Reactor Safety Design Criteria</i>	EH	Table 1
DOE O 5610.13	<i>Joint Department of Energy/Department of Defense Nuclear Weapon System Safety, Security, and Control Activities</i>	NA	Table 1
Secretarial Notice (SEN)-22-90	DOE Policy On Signatures of RCRA Permit Applications		
(SEN) 35-91	<i>Nuclear Safety Policy</i>	EH	Table 1

**DOE ORGANIZATIONS TO WHICH DOE M 411.1-1D IS APPLICABLE FOR
FEDERAL EMPLOYEE OCCUPATIONAL SAFETY AND HEALTH (FEOSH)
REQUIREMENTS**

Office of the Secretary
Office of the Chief Financial Officer
Office of the Chief Information Officer
Office of Civilian Radioactive Waste Management
Office of Congressional and Intergovernmental Affairs
Office of Counterintelligence
Departmental Representative to the Defense Nuclear Facilities Safety Board
Office of Economic Impact and Diversity
Office of Energy Efficiency and Renewable Energy
Energy Information Administration Office of Environment, Safety and Health
Office of Environmental Management Office of Fossil Energy
Office of General Counsel
Office of Hearings and Appeals
Office of Human Capital Management
Office of Security and Safety Performance Assurance
Office of the Inspector General
Office of Intelligence
Office of Management
National Nuclear Security Administration

- Office of the Deputy Administrator for Defense Programs
- Office of the Deputy Administrator for Defense Nuclear Nonproliferation
- Office of Emergency Operations
- Office of the Associate Administrator for Facilities and Operations
- Office of the Associate Administrator for Management and Administration

Office of Nuclear Energy, Science and Technology
Office of Policy and International Affairs
Office of Public Affairs
Office of Science
Secretary of Energy Advisory Board
Office of Security
Office of Worker and Community Transition
Office of Energy Assurance

**DOE ORGANIZATIONS TO WHICH DOE M 411.1-1D IS APPLICABLE FOR
REQUIREMENTS OTHER THAN FEOSH**

Office of the Secretary

Office of Civilian Radioactive Waste Management

Office of Energy Efficiency and Renewable Energy

Office of Environment, Safety and Health

Office of Environmental Management

Office of Fossil Energy

Office of Security and Safety Performance Assurance

National Nuclear Security Administration

- Office of the Deputy Administrator for Defense Programs
- Office of the Deputy Administrator for Defense Nuclear Nonproliferation

Office of Nuclear Energy, Science and Technology

Office of Science

Office of Security